



# Weed and Seed Fiscal Year 2000 Program Guide and Application Kit

Competitive  
Solicitation

February 3, 2000

Dear Applicant:

Enclosed is the Weed and Seed Application Kit and Program Guide for Fiscal Year 2000 Competitive Funding. Your site is invited to apply for funding as indicated in this Application Kit.

Since Weed and Seed is essentially a coordination strategy, we urge you to use the funding application/program planning process as a tool to develop and reinforce mutually beneficial working relationships among all members of the site Steering Committee and other Weed and Seed coalition partners.

The application must be sent to our office with a postmark no later than April 20, 2000. Applications with a later postmark date cannot be guaranteed funding in Fiscal Year 2000.

If you have any questions concerning this Application Kit, please call your site's program manager at (202) 616-1152. In addition, Regional Conferences to assist you in the development of an application have been arranged (please see our website: [www.ojp.usdoj.gov](http://www.ojp.usdoj.gov)).

We thank you for your support of the Weed and Seed strategy and all the good things you are doing to prevent and control crime and improve the quality of life in your communities.

Sincerely,

/s/

Stephen Rickman,  
Director

Enclosure

cc: U.S. Attorney  
Law Enforcement Agency Partners

# Weed and Seed Fiscal Year 2000 Program Guide and Application Kit For Competitive Funding APPLICATION CHECKLIST

Please use this checklist to ensure that your application is complete. Failure to include any of the following items may result in disqualification of your application. All forms and assurances are provided in the pages that follow.

## PLEASE INCLUDE. . .

- ☐ A completed and signed Standard Form (SF) 424, Application for Federal Assistance (attached), including the following entries:

Item 3 on the SF 424: Date your application was submitted to the State Office that administers the Byrne Formula Grant program.

Item 10 on the SF 424: Catalog of Federal Domestic Assistance No. (16.595).

Item 11 on the SF 424: Provision of audit information: the applicant organization's fiscal year and name of the designated cognizant federal agency.

Item 16 on the SF 424: Date your application was submitted to the State Single Point of Contact (SPOC) or the reason that State review is not required.

- ☐ At the very beginning of the application:

--a 4-sentence summary of your site's Weed and Seed strategy (1 sentence for each of the basic program elements: law enforcement; community policing; prevention/intervention/treatment; and neighborhood restoration)--this is needed for the award document; AND

--a 1 to 2-page summary of your site's Weed and Seed strategy--this is needed for the program database.

- ☐ All applicants must submit a Certification Statement for Weed and Seed Sites, which serves as the Program narrative (approximately five pages). Please address all four elements of your strategy in your narrative. The Certification must be signed by the U.S. Attorney as well as the grant applicant.
- ☐ A completed Budget Detail Worksheet for grant funds (attached), and a **separate** budget for Asset Forfeiture Funds (separate attachment).
- ☐ A signed Assurances form (OJP Form 4000/3, attached).

- ☐ The signed form letter indicating that the federal funds will supplement, not supplant, applicant resources (sample format attached).
- ☐ A completed and signed "Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements" form (OJP Form 4061/6 and Form LLL, attached).
- ☐ The GPRA submission required with your application (attached).
- ☐ The **original** signature of the AUTHORIZED OFFICIAL for the applicant agency (i.e., the person authorized to enter into contracts for the agency) on **all** required forms.
- ☐ The National Directory Update (see Attachment 5).
- ☐ The application printed on 8½ inch x 11 inch paper and only on one side of the paper.
- ☐ A map depicting the street boundaries of the designated area(s), if possible, on 8 ½ inch x 11 inch paper; and a description in words of the street boundaries of the site.
- ☐ A list of the Census Tract(s) of the designated Weed and Seed area(s)
- ☐ NEW: Documentation required in compliance with the National Environmental Policy Act, if applicable (e.g., re: renovation of a building; see Part III, below)
- ☐ The completed grant application with **original signatures** and two copies.  
Submission  
of application text in WordPerfect 8 or earlier version on 3.5" disk is optional.

The application must be postmarked by April 20, 2000. Submit the application package to:

Executive Office for Weed and Seed  
6th Floor  
810 Seventh Street, N.W.  
Washington, D.C. 20531

Submission of the FY2000 grant application via internet is also acceptable. Call 1-888-549-9901 for assistance. Information is also available on the OJP Grant Management System (GMS) website: [www.ojp.usdoj.gov/guidelinesinfo.htm](http://www.ojp.usdoj.gov/guidelinesinfo.htm)

Questions about this application kit can be addressed to your site's program manager, who can be reached at (202) 616-1152. Financial management questions should be directed to the Office of the Comptroller (OC) Customer Service Center at 1-800-458-0786. The OC e-mail address is [askoc@ojp.usdoj.gov](mailto:askoc@ojp.usdoj.gov)

# Weed and Seed Fiscal Year 2000 Program Guide and Application Kit For Competitive Funding

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# I. WEED AND SEED POLICY UPDATE

## **OVERVIEW OF WEED AND SEED**

***Operation Weed and Seed***, a U.S. Department of Justice community-based initiative, is an innovative and comprehensive multi-agency approach to law enforcement, crime prevention, and community revitalization.

### **The Weed and Seed Strategy**

Operation Weed and Seed is foremost a strategy--rather than a grant program--which aims to prevent, control, and reduce violent crime, drug abuse, and gang activity in targeted high-crime neighborhoods across the country. Weed and Seed sites range in size from several neighborhood blocks to 15 square miles.

The strategy involves a two-pronged approach: law enforcement agencies and prosecutors cooperate in “weeding out” criminals who participate in violent crime and drug abuse, attempting to prevent their return to the targeted area; and “seeding” brings human services to the area, encompassing prevention, intervention, treatment, and neighborhood revitalization.

A community-orientated policing component bridges weeding and seeding strategies. Officers obtain helpful information from area residents for weeding efforts while they aid residents in obtaining information about community revitalization and seeding resources.

### **The Role of the U.S. Attorney**

At each site, the United States Attorney plays a central role in organizing the Steering Committee and bringing together the communities with other Weed and Seed participants. The U.S. Attorney’s Office provides leadership in joint law

enforcement operation planning and implementation, and ongoing involvement in the Steering Committee and other activities. The U.S. Attorney’s role includes but is not limited to: 1) decision on approval of an application for Official Recognition of a site; 2) sign-off on the certification required as part of the Weed and Seed funding application; and 3) sign-off on requests to use the U.S. Attorneys’ Fund for Weed and Seed activities.

## **WEED AND SEED POLICIES FOR FISCAL YEAR 2000**

This Weed and Seed Application Kit for Fiscal Year 2000 offers cocompetitive funding to Weed and Seed sites.

Competitive funding is offered to help sites maintain their best programs and share their experience with other sites through regional networking, other peer-to-peer training, and regional and national Weed and Seed training efforts. Funding is a tool for local leadership in developing and implementing the Weed and Seed strategy through leveraging and building long-term relationships.

FY 2000 EOWS funding decisions will be based on a consideration of the cycle of awards made to the site (generally, a site will only get one award per fiscal year), sites’ unobligated balances of DOJ funds from prior awards, and sites’ compliance with the requirements and conditions of this solicitation, past awards, and all OJP reporting requirements.

### **Emphases for FY 2000**

FY 2000 funding is offered for the purpose of assisting sites in their implementation of their approved Weed and Seed strategies. General guidance is provided in the ***Operation Weed and Seed Implementation Manual***.

Requests for changes to the approved strategy and designated area need to be submitted by the Weed and Seed Steering Committee to EOWS for approval by the Director.

EOWS strongly recommends that each site have a full-time Weed and Seed coordinator, to be funded through reallocation of existing site resources and/or EOWS grant funds.

Applicants are encouraged to invest FY 2000 funds in the improvement of their crime analysis and mapping capacity. Both Grant and Asset Forfeiture Funds can be used for this purpose.

Each FY 2000 Weed and Seed site application is required to budget \$7,500 in grant funds for training and technical assistance. Further guidance on training and technical assistance will be issued later in FY 2000.

Timely submission of required progress reports and financial status reports is essential. Award processing and fund drawdowns may be withheld if the progress and financial status reports are delinquent.

Beginning with the FY 2000 funding cycle:

- All sites are **required** to have internet capability to facilitate communication with EOWS and support other site activities, and may use grant funds for this purpose.

- No later than 90 days following acceptance of the award by the grantee, the site's Steering Committee is **required** to adopt bylaws for its operations. Sample bylaws can be obtained by calling your EOWS program manager at (202) 616-1152.
- Sites applying for grant funds to be used in a minigrant process are **required** to provide documentation of the procedures for award and management to be used in that process as part of their application. Compliance with the requirements of the OJP Office of the Comptroller Financial Guide is required. Sample procedures can be obtained by calling your program manager at (202) 616-1152.

**To be eligible for funding in Fiscal Year 2001, all sites which have received Weed and Seed funding for 5 fiscal years will be required to submit a full new application for Official Recognition by November 30, 2000.**

In developing their new Official Recognition submissions, these sites are encouraged to replicate the Weed and Seed strategy in new areas of their jurisdiction; however, they must present a strong case for maintaining their current area(s) for the consideration of the Executive Office for Weed and Seed.

The guidelines for Official Recognition are being revised. Revised guidelines will be issued in Spring 2000.

### **Coordination With Other Resources**

Sites' coordination should extend to related community development efforts, and federal funding sources (e.g., Local Law Enforcement Block Grants, Byrne Formula Funds, Juvenile Justice Formula

Funds, Asset Forfeiture Equitable Sharing, and COPS hiring funds); as well as state, local, and private resources. In addition, U.S. Attorney offices can assist communities through "Weed and Seed"

real property transfers. Coordination among federal agencies can be facilitated through the Federal Executive Boards (see website: [www.feb.gov](http://www.feb.gov)). Re: grants generally, see website: [web.calstatela.edu/academic/orsp/grantguide.html](http://web.calstatela.edu/academic/orsp/grantguide.html)

## II. PROGRAMMATIC AND FUNDING GUIDANCE FOR WEED AND SEED SITES

### **Sites Invited to Apply for FY 2000 Weed and Seed Competitive Funding**

Applications are invited from the existing grantee organizations, unless otherwise noted. Applicants must also demonstrate that they have the management and financial capability to implement effectively a project of this size and scope. In addition, sites must have cleared any FY 99 budgets before their FY 2000 applications will be processed. Following the list of sites are the amounts offered and guidance on key budget and program matters.

Category I -- Sites Among the Initial Demonstration Sites which submitted new or expanded site as part of the Official Recognition submissions required by November 30, 1999:

Charleston, South Carolina  
Hartford, Connecticut  
Hillsborough County, Florida  
Indianapolis, Indiana  
Milwaukee, Wisconsin (Metcalf Park)  
Ocala, Florida  
Philadelphia, Pennsylvania  
San Antonio, Texas  
San Diego, California  
Santa Ana, California  
Savannah, Georgia  
Seattle, Washington  
Shreveport, Louisiana  
Washington, D.C. (Congress Heights)

Other sites among the initial 36 either did not apply for Official Recognition; applied for Official Recognition and need to work

on their strategies for potential re-submission by November 2000; and/or will receive a FY2000 award based on a prior year application that was held over; and/or have prior award balances sufficient to await the FY2001 funding cycle. (Note: Additional Initial Sites which have received Official Recognition redesignation include Kansas City, MO, Pittsburgh, PA, and Tampa, Florida. In FY 2000, these three sites are receiving awards based on their FY 1999 applications and need not submit a FY 2000 application).

Category II -- Offer of Initial Funding to Officially Recognized (O.R.) Sites:

Alachua County, Florida  
Algiers/Bywater (New Orleans), Louisiana  
Camden, New Jersey  
Cleveland, Tennessee  
Cobb County, Georgia  
Delray, Florida  
Eugene, Oregon



Ferguson Road Initiative (Dallas), Texas  
 Greenville, Mississippi–Area #2  
 Honolulu, Hawaii–Area #2  
 Jamestown, New York  
 Jefferson Parish, Louisiana  
 Kalamazoo, Michigan  
 Lakewood, Washington  
 Las Cruces, New Mexico  
 Lawton, Oklahoma  
 Long Branch/Silver Spring, Maryland  
 Lumberton, North Carolina  
 Macon, Georgia  
 \*Northwest Baltimore, Maryland  
 Pine Bluff, Arkansas  
 Pittsburgh (Homewood), Pennsylvania  
 Portland, Oregon–Area #2 (Southeast)  
 Poughkeepsie, New York  
 QueensBorough/Ingleside (Shreveport),  
 Louisiana  
 Rapid City, South Dakota  
 Sacramento, California  
 San Jose, California (Washington Area)  
 Santa Ana, California–Area #2  
 South Dallas, Texas  
 Syracuse, New York–Area #2  
 Toledo-Lagrange, Ohio  
 Toppenish, Washington  
 Troy, New York  
 Village of Washington Park, Illinois  
 Vineland, New Jersey  
 \*Washington Village, Baltimore, Maryland

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\*The site with the highest score will be  
 offered funding, based on the following  
 rule:

***EOWS is maintaining a limit of 3 EOWS-  
 funded sites per city or county within a  
 given fiscal year. If a city includes  
 counties, the limit applies on the city; if a  
 city has a population of over 5 million,  
 the  
 limit is 4 EOWS-funded sites. Other sites  
 within the jurisdiction may have Official  
 Recognition status. Funded sites may  
 share resources with unfunded Officially  
 Recognized sites.***

**Sites eligible to apply for FY 2000 Competitive Funding may apply for up to:**

- o \$125,000 in EOWS grant funds for the site (of which \$40,000 must be allocated for the operation or enhancement of the site's Safe Haven(s)); plus
- o \$50,000 in Asset Forfeiture Funds for one joint law enforcement operation, including qualifying community policing activities.

**Maintaining Best Programs and Providing Training**

Sites are offered funds to maintain their best programs so that they can improve coordination in planning and implementing their own Weed and Seed strategy and serve as examples for other sites, including those developing their strategies. Sites are encouraged to host training for other sites in a mutually acceptable manner--by hosting visits by members of new and developing sites seeking training; providing personnel who provide training at regional and/or national Weed and Seed training conferences; or by hosting training conferences to which other sites will be invited.

Each site will also be expected to provide training in the Weed and Seed strategy to other neighborhoods in its local area, upon request, to help those other neighborhoods to replicate the Weed and Seed strategy.

**Safe Havens**

Since Safe Havens are a key element of the Weed and Seed strategy, all sites are required to have at least one Safe Haven. A minimum of \$40,000 of grant funds must be allocated for the Safe Haven(s).

A Safe Haven is a multi-service center where a variety of youth and adult

services are coordinated in a highly visible, accessible facility that is secure against crime and illegal drug activity. It is a place where youth and other residents can access needed services, develop relationships, find opportunities to be productive and successful, and enhance skills. Through its visibility, proximity, and program diversity for residents of all ages, it fosters resistance to drugs, crime and other neighborhood problems. A Safe Haven provides an environment for residents and service providers to revitalize their neighborhood. It encourages them to identify existing core problems as well as to develop programs and services to ameliorate these problems through prevention, intervention, and treatment activities.

The Safe Haven should provide a variety of services and supportive programs, e.g., educational, cultural, recreational, health, and justice-related, with emphasis on coordinated delivery of these services. Using the risk and protective factor assessment, local communities decide on the priority risks to be addressed as well as fill existing gaps in the service delivery systems. Case management should be closely coordinated for all family members based on their unique assessment and needs.

A Safe Haven should be a safe and secure facility. A neighborhood school is the ideal place to locate a Safe Haven and maximize the coordination of services. The school is usually a well-known and well-respected

facility with ample room for a broad variety of activities. It is usually very defensible against crime and often protected by the drug-free school zone laws.

A Safe Haven should be accessible to a wide range of individuals from the targeted neighborhood. The Safe Haven will provide youth, parents and other residents with a safe place to go, and productive activities. For example, parenting classes will teach how to strengthen family bonds; teachers will be able to enhance their skills in proactive classroom management; neighborhood groups can learn how to advocate for their community.

A Safe Haven should have trained paid and volunteer staff available. Training provided to Safe Haven staff should emphasize principles of collaboration, enhanced adult and youth case management skills, drug and alcohol abuse prevention and education, volunteer training, and planning.

A Safe Haven should be open outside of normal school and work hours. It should also be open on weekends and during summer vacations.

A Safe Haven can play a key role in any broad neighborhood revitalization effort. Successful neighborhood restoration requires a comprehensive strategy which coordinates efforts by law enforcement, community groups, schools, public and private social service agencies, government, and the private sector, working together to restore distressed neighborhoods.

Program selection and implementation in a Safe Haven are guided by a "risk and protective factor" approach. Risk factors are identified and prioritized, then addressed with a comprehensive strategy

that reduces risks while enhancing protective factors that can lessen the impact of being exposed to these risks.

People have intuitively used this approach when challenged by serious threats like disease epidemics by responding with an all-out effort that includes intensive research, training, and even life-style changes. Communities can utilize a similar comprehensive risk and protective factor-focused prevention approach to solve other health and behavior problems --an approach which can maximize a Safe Haven's chances for success. For additional information regarding this approach, see Chapter 7 of the Weed and Seed Implementation Manual.

Screening of people working with children is an important element of managing a Safe Haven and other youth-focused activities and will be required by a special condition of the Weed and Seed grant. Please refer to "Guidelines for the Screening of Persons Working with Children, the Elderly, and Individuals with Disabilities in Need of Support," published by the Office of Juvenile Justice and Delinquency Prevention (OJJDP) in April 1998, NCJ 167248, which can be requested from OJJDP's Clearinghouse by calling (800) 638-8736.

### **Community Security Initiative and Other Resources**

The Local Initiative Support Corporation (LISC), the nation's largest community development intermediary, has advised EOWS that it will consider providing up to \$50,000 per site worth of training and other resources for first-year Weed and Seed sites that want to undertake "Community Security Initiative" programming. Information on LISC, its Community Security Initiative, and its technical assistance capacity can be found in Attachment 2. Sites selected must: be

located in a LISC area of concentration (listed in Attachment 2); have a community development corporation (CDC) as a key or lead partner; and be planning to select the Community Security Initiative as its special emphasis initiative in subsequent Weed and Seed funding years. (Please keep in mind that activities to be funded by Weed and Seed dollars must be within the designated Weed and Seed area.) For further information on the terms and applications process for this separate initiative, please contact Lisa Belsky at LISC via phone (212) 455-9824, e-mail [LBELSKY@LISCNET.ORG](mailto:LBELSKY@LISCNET.ORG), or mail at LISC, 733 Third Avenue, 8<sup>th</sup> Floor, New York, N.Y. 10017.

### **Accessing Technical Assistance and Training**

Technical Assistance and Training will be provided to Weed and Seed sites with Official Recognition, sites with existing

grants from prior years, and sites with FY 2000 grants. Technical assistance and training for a site can be funded in one or more of the following ways:

- o EOWS grant funds. Each FY 2000 Weed and Seed site application is required to budget \$7,500 in grant funds for training and technical assistance.
- o Asset Forfeiture Funds, for training directly related to the site's approved joint law enforcement operation, beyond the training normally provided by the police agency.
- o The site-driven training and technical assistance system will be continued for FY 2000. This program-wide system can be

used to pay for site participant attendance at appropriate off-site training courses, as well as on-site technical assistance or training.

The Executive Office for Weed and Seed will host a series of conferences throughout 2000 and 2001. During January 2000 through March 2000, there will be approximately 12 regional meetings held to enable sites to host small, informal and intimate forums on issues related to their geographical areas.

In addition there will be specialized conferences and work sessions on the following topic areas throughout the course of the year: The Roles and Responsibilities of Site Coordinators; Law Enforcement; Community Oriented Policing; and Special Emphasis Projects.

Three satellite broadcasts will also be aired on Family Violence, The Re-entry of Ex-Offenders in Communities; and Community Oriented Policing in Weed and Seed sites. These conferences, workshops, and broadcasts are designed to equip Weed and Seed sites with the tools to enhance the work they are doing on their strategies and to strengthen their communities.

Sites are also encouraged to take advantage of training supported by federal grants, e.g., the training provided by the Regional Community Policing Institutes supported by the DOJ COPS Office (see website: [www.usdoj.gov/cops/gpa/tta/rcpi/default.htm](http://www.usdoj.gov/cops/gpa/tta/rcpi/default.htm))

Sites with unmet training needs are encouraged to consult with their U.S. Attorney's Office liaison and/or their EOWS program manager.

Further information concerning technical assistance and training is on the Weed & Seed website: [www.ojp.usdoj.gov/eows](http://www.ojp.usdoj.gov/eows)

## **New Direction for FY 2001**

During the year 2001, The Executive Office for Weed and Seed will unveil its new certification process for Weed and Seed sites. A series of intensive training sessions will be offered to all Weed and Seed grantees and OR recipients to qualify them for executing their strategies. These certification sessions will be provided as requisites for sites to learn the best approaches to execute effective strategies. This new approach is a result of requests from sites for more intensive and concentrated learning modules on the components required in Weed and Seed. They will be supplemented by regional meetings, workshops, and forums. The National Conference will recognize those sites who have successfully completed the certification series.

## **Evaluation**

**Local Evaluation.** Sites are expected to perform the local evaluation required by earlier grant awards.

All sites are encouraged to develop an arrangement with an academic or analytic partner to analyze its crime problems and/or evaluate the site's strategy and programs. At a minimum, each site must have in place a plan to measure the success of its strategy and programs.

Technical assistance can be requested by sites under the site-driven technical assistance system to help plan for these local evaluations.

In addition, sites may call upon their State's Statistical Analysis Center (SAC) for assistance. The Justice Research and Statistics Association (202-842-9330) can help connect sites with their SAC.

To implement the local evaluation, sites may augment funds budgeted in the past with FY 2000 funds, if necessary.

### ***Other Resources for Local Evaluation.***

Guidance on local evaluation can be obtained from the OJP Bureau of Justice Assistance Evaluation Website: [www.bja.evaluationwebsite.org](http://www.bja.evaluationwebsite.org) For a potential source of funding for local evaluations, Weed and Seed sites are encouraged to look for the issuance of the National Institute of Justice's Solicitation for Investigator-Initiated Research in the Fall of 2000.

**National Evaluation.** Sites must agree to cooperate with any national evaluation under the auspices of DOJ during the course of the grant period.

### III. BUDGET GUIDANCE

#### **Funding Characteristics**

Grant funds are discretionary and may be used to support any Weed and Seed activity. The Asset Forfeiture Funds are not grant funds; rather, they are funds made available for **reimbursement** through the federal law enforcement agency administering the funds for eligible expenses under 28 U.S.C. 524 (c)(1)(I), as explained below.

#### **Grant Budget Guidance**

**Period of Award.** The period of all awards issued under this application kit will be 12 months from the date of award.

**Safe Havens.** At least \$40,000 of the EOWS grant award funds must be allocated for the purpose of operating and/or enhancing a site's Safe Haven(s).

**Seeding.** A majority of the "total award" (e.g., at least \$87,501 of \$175,000) must be used to support seeding activities. The same principle applies regardless of the total size of the award. The "total award" includes EOWS grant funds and Asset Forfeiture Funds described below.

**Additional Guidance on Use of Grant Funds.** Grant funds may not be used for construction.

Case by case review will be given to requests for grant funds for purchase of a van for use in conjunction with a safe haven. Generally, lease of a van is preferable to purchase.

Grant funds will not be approved for police patrol cars, guns, and ammunition, except on the basis of EOWS review of a request by the site based on special circumstances.

Use of grant funds for food/snacks for children at Safe Havens must be integrally related to Safe Haven programs.

Budgets that include non-competitive contracts for the provision of specific services must include a sole source justification for any procurement in excess of \$100,000.

**Revision of Budgets.** Any proposed revision to the FY 2000 grant award must be accompanied by relevant excerpts from the Steering Committee minutes and the Steering Committee Chairperson's signature before EOWS can grant official approval to the proposed revision.

Case-by- case review will be given to requests to use grant funds for minor renovations of a pre-existing facility which do not involve a change of use of the facility.

All sites are required to have internet capability to facilitate communication with EOWS and support other site activities, and may use grant funds for this purpose.

No later than 90 days following acceptance of the award by the grantee, the site's Steering Committee is required to adopt bylaws for its operations. Sample bylaws can be obtained by calling your EOWS program manager at (202) 616-1152.

Sites applying for grant funds to be used in a migrant process are required to provide documentation of the procedures for award and management to be used in that process as part of their application. Compliance with the requirements of the OJP Office of the Comptroller Financial Guide is required. Sample procedures can be obtained by calling your EOWS program manager at (202) 616-1152.

# **ASSET FORFEITURE FUNDS (AFF) GUIDANCE**

## **New Directions for FY 2000**

Sites are encouraged to use AFF funds to contract for crime analysis and mapping services to help focus the joint operations' planning efforts. Reallocation of funds from the "overtime" category for this purpose is encouraged.

## **Overview of Asset Forfeiture Funds**

The Asset Forfeiture Funds discussed in this section are a portion of the federal share of seized assets. This section provides a description of the rules which apply to these funds, which differ from the rules which apply to the state and local equitable shares distributed by a separate mechanism.

To facilitate planning, this Application Kit describes the conditions under which Asset Forfeiture Funds (AFF) would be made available to Weed and Seed sites later in the year 2000, subject to the DOJ allocation process and the Congressional Notification process. This section of the Application Kit is presented as a convenience to assist sites plan for AFF which may become available to the Weed and Seed program in FY 2000.

Once obligated, AFF funds are available for the payment of various costs incurred by state and local law enforcement officers who are directly involved in joint law enforcement operations with a qualifying federal law enforcement agency (Federal Bureau of Investigation, Drug Enforcement Administration, U.S. Marshals Service, Immigration and Naturalization Service, U.S. Park Police, U.S. Postal Inspection Service, Food and Drug Administration--

Office of Criminal Investigations, and U.S. Department of Agriculture--Office of Inspector General). Use of these funds is controlled by statute, 28 U.S.C. 524 (c) (1) (I), which states that the AFF may be used for:

***". . . payment of overtime salaries, travel, fuel, training, equipment, and other similar costs of State and local law enforcement officers that are incurred in a joint law enforcement operation with a Federal law enforcement agency participating in the Fund."***

EOWS will provide assistance to sites to work through budgetary problems. Detailed guidance on the use of AFF funds appears in Attachment 7. This guidance distinguishes between situations in which the use of AFF is appropriate and those in which another source of funds must be found. For example:

- o the guidance clarifies when it is permissible to use AFF monies to reimburse costs associated with community policing efforts.

In addition, the guidance explains that:

- o In determining if the 3/4 work-year requirement is met, it is permissible to count the time invested by United States Attorneys and Assistant United States Attorneys in executing activities under the tactical plan (e.g., prosecutions, forfeiting seized assets), so long as an operation includes qualifying federal agent participation.

## **Development of Joint Law Enforcement Operations Funded with AFF Monies**

As part of Operation Weed and Seed, AFF funding is offered for joint law enforcement operations planned in a collaborative way

involving the U.S. Attorney's Office, and federal, state, and local law enforcement agencies. AFF funding can go to an existing joint operation, or a new operation can be formed. Joint operations funded through Operation Weed and Seed with AFF funds: 1) should be appropriate to the crime problem being addressed; 2) should comply with the statute governing the AFF (28 U.S.C. 524(c)(1)(I)); and 3) should not be redundant with other DOJ funding for joint law enforcement operations.

### **Geographic Extent of Weed and Seed Joint Operations**

Law enforcement activities eligible for funding under the Weed and Seed program extend to:

"1) any felony or misdemeanor relating to distributing or possessing drugs and/or firearms (or aiding/abetting or causing thereof) within the confines of the Weed and Seed area, or involving a conspiracy to sell or possess drugs and/or firearms; or 2) the commission of any other felony offenses within the Weed and Seed area [including] any such cases which occur outside the Weed and Seed area which directly impact the area or have a significant nexus thereto" [Memorandum of 8/5/92 from the Deputy Attorney General to U.S. Attorneys for Weed & Seed Sites].

### **Duration of AFF Funding**

Once the AFF allocation for a site is obligated by the execution of a Cost Reimbursement Agreement, those funds remain available for reimbursement as long as: 1) the site has a Weed and Seed grant in effect; and 2) the joint law enforcement operation remains viable.

## **The AFF Funding Application**

***The application budget for AFF funding must be separate from the budget for grant funds. The AFF budget form and an example appear below.***

The weeding strategy involving these funds must be developed through a joint planning process involving the U.S. Attorney's Office, other federal law enforcement agencies, and local prosecutors and law enforcement agencies.

While the use of these resources will have to be explained in the context of each neighborhood's overall Weed and Seed strategy, the AFF budget request should be made using the separate form attached (see Attachment 8) and submitted with the funding application. The reimbursement process must be coordinated through one of the federal law enforcement agencies participating in the AFF (listed above).

In addition, a Cost Reimbursement Agreement (CRA) must be executed by the federal law enforcement agency administering the funds and the state/local agencies participating in the joint operation.

To facilitate processing of AFF requests, sites are requested to submit CRAs along with funding applications on April 20, 2000. CRA forms and examples of executed CRA's may be found below.

The applicant should retain a copy of the AFF budget request and CRA for future reference.

### **Limit on Overtime Payments**

DOJ law enforcement agency policy limits maximum reimbursement for overtime to state and local agencies at a rate



equivalent to 25 percent of a GS-10, Step 1, per annum (\$772.02 per officer per month).

This requirement applies to all federally-funded task forces. This definition of the limit on reimbursement does not affect the actual pay rate set by the parent agency for its state or local officers: the parent agency should still pay officers at its own rate, whether or not the federal reimbursement covers the full amount.

### **The Reimbursement Process**

Funds provided from the AFF are not grant monies. The line-item budget submitted with the funding application as approved by EOWS will be the basis upon which cost reimbursements are made to state and local law enforcement agencies.

Examples of forms for requesting reimbursement appear below. The forms should be submitted to the local office of the federal law enforcement agency responsible for administering the AFF.

### **AFF Budget Revisions**

After the initial budget clearance is issued, proposed budget revisions should be faxed to EOWS for review (Fax number 202-616-1159). Proposed budget modifications should be the product of coordination among the local law enforcement agency, the federal law enforcement agency partner(s), and the U.S. Attorney's Office. EOWS will issue a budget modification response and will notify the affected parties.

### **Reporting of Results**

Results of law enforcement activities are to be reported as part of GPRA reporting (see Attachment 10). Confirmation of activities funded by AFF will be sought through reporting by Federal law enforcement agencies.

### **Audits**

Use of AFF funding by sites is subject to audit by staff attached to EOWS, the DOJ Asset Forfeiture Management Staff, other components of DOJ, and other federal government agencies. These audits have begun. Audit results are factored into DOJ financial management decisions, including site funding and deobligation decisions.

## IV. IMPORTANT REQUIREMENTS AND ADMINISTRATIVE PROVISIONS

### **Government Performance and Results Act Reporting Requirements**

All sites funded under this solicitation are required to monitor the program elements designed for tracking under the Government Performance and Results Act (GPRA). The FY 2000 data collection for GPRA has been streamlined (see Attachment 10). The U.S. Attorney's Office will track specified federal law enforcement data.

The grantee will track the specified state and local law enforcement data and the other GPRA data elements and will report the data directly to the Weed and Seed program tracking database. Insofar as practicable, the period to be covered by tracking should be the grant period.

### **Grantee Reporting Requirements**

- # **Financial Status Report:** Financial status reports (SF 269-A) are due within 45 days following the end of each calendar quarter. A report must be submitted every quarter the award is active even if there has been no financial activity during the reporting period. The final report is due within 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this form in the initial award package. Future awards and fund drawdowns may be withheld if the progress and financial status reports are delinquent.
- # **Single Audit Report:** Recipients who expend \$300,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report.

The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards. The audit report is due to the Federal Audit Clearinghouse 9 months after the end of the recipient's fiscal year.

- # **Semi-Annual Progress Report:** Recipients of funding are required to submit an initial and then semi-annual progress report. The progress reports describe activities during the reporting period and the status or accomplishment of objectives as set forth in the site's overall Weed and Seed strategy and the approved application for funding. Progress reports must be submitted within 30 days after the end of the reporting periods, which are January 1 through June 30 and July 1 through December 31 for the life of the award. A final report, which provides a summary of progress toward achieving the goals and objectives of the award, significant results, and any products developed under the award, is due 120 days after the end date of the award. Report forms will be provided to the recipient by EOWS.

### **Eligible Applicants**

Applicant organizations may submit joint proposals with other eligible organizations. Applications from more than one organization must set forth the relationships among the parties. One organization must be designated in the application as the applicant and any co-applicants must be designated as such. As a general rule, organizations that describe their working relationship in the development of products and the delivery of services as primarily cooperative or collaborative in nature will be

considered co-applicant(s). In the event of a co-applicant submission, one co-applicant must be designated as the payee. This applicant will receive and disburse project funds and be responsible for the supervision and the coordination of the activities of the other co-applicant(s). Under this arrangement, each organization must agree to be jointly and severally responsible for all project funds and services. Each co-applicant must sign the SF-424 and indicate acceptance of the conditions of joint and several responsibility with the other applicant(s).

Private for-profit organizations must waive their fee in order to be eligible.

### **Assurances**

The application form includes a list of assurances that the applicant, by signing the SF- 424, assures that it will comply with the requirements contained in the assurances in order to receive Federal funds under this program. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions.

### **Supplanting Prohibition**

Federal funds must be used to supplement existing funds for program activities and may not replace (supplant) non-Federal funds which have been appropriated for the same purpose. Potential supplanting will be the subject of monitoring and audit. Violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from Federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties.

### **Coordination of Federal Efforts**

A description of coordination is required as part of the Certification Statement, attached below.

### **Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements**

The applicant is required to complete, sign, and include a copy in its application of the Certification Regarding Lobbying, Debarment, Suspension, and Other Responsibility Matters; and Drug Free Workplace Requirements forms. By signing this certification, the applicant agrees to comply with the following requirements:

**Lobbying:** The applicant and its subgrantees, contractors and subcontracts, will not use Federal funds for lobbying and will disclose any lobbying activities.

**Debarment:** The applicant and its principals have not been debarred or suspended from Federal benefits and/or no such proceedings have been initiated against them; have not been convicted of, indicted for, or criminally or civilly charged by a government entity for fraud, violation of antitrust statutes, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and have not had a public transaction terminated for cause or default.

**Drug-Free Workplace:** The applicant will or will continue to provide a drug-free workplace.

Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, New Restrictions on Lobbying, and 28 CFR 67, Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug Free Workplace (Grants). The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in making awards.

### **Single Point of Contact Review**

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. The date that the application was sent to the SPOC to or the reason such submission is not required should be entered in block 16 on the ***Application for Federal Assistance***, SF-424.

### **Civil Rights Compliance**

All recipients of Federal grant funds are required to comply with nondiscrimination requirements contained in various Federal laws. In the event that a court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the Office of Civil Rights of the Office of Justice Programs. All applicants should consult the Assurances required with the

application funds to understand the applicable legal and administrative requirements.

### **Suspension or Termination of Funding**

The Office of Justice Programs may suspend funding in whole or in part, terminate funding, or impose another sanction on a recipient for the following reasons:

- # Failure to comply substantially with the requirements or statutory objectives of the Weed and Seed Program and guidelines issued thereunder, or other provisions of Federal law;
- # Failure to make satisfactory progress toward the goals or strategies set forth in this application;
- # Failure to adhere to the requirements in the agreement, standard conditions, or special conditions;
- # Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
- # Filing a false certification in an application, other report, or document; or
- # Other good cause shown.

Before imposing sanctions, the Office of Justice Programs will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in Department of Justice regulations described in 28 CFR 18.

## **National Environmental Policy Act (NEPA) Compliance**

### **General**

All recipients of Federal grant funds are required to assist the sponsoring Federal agency comply with the National Environmental Policy Act (NEPA) as well as other related Federal environmental impact analysis requirements. Certain uses of EOWS funds, e.g., for extensive building renovations, may require an environmental impact analysis prior to their approval and implementation. In submitting an application for funding, applicants understand and agree that the assistance they must provide may include submitting specific information on the proposed site and activities subject to an environmental impact review; drafting a required environmental assessment (EA) for the proposed activities; consulting with Federal, State, and local agencies having jurisdiction over or special expertise regarding the potential environmental impacts of the proposed activities; cooperating with EOWS to modify proposed activities in order to avoid or reduce any identified, potential adverse environmental impacts; and, if determined necessary by EOWS, assisting in scheduling and holding any public meetings on an EA or providing public notice on the availability of an EA for public review. Applicants should also understand that the scope of any required environmental impact analysis is not limited to the activities funded solely by EOWS but includes the applicant's related activities as well as those of third parties, such as other local, State, or Federal agencies.

EOWS and OJP wish to work with an applicant to meet all assessment requirements concurrently and thereby avoid duplication of effort. To accomplish this, the applicant should inform EOWS if

the applicant must perform an environmental impact analysis under a state or local requirement, or if a federal agency is completing an environmental impact analysis.

### **Additional Steps for Renovation Projects**

Applicants are required to submit the following information on any building that is proposed for renovation either with EOWS funds or as a result of its action or a third party's action that is related to the use of the requested EOWS funds.

#### **For all buildings:**

Provide the Federal Emergency Management Administration's (FEMA) floodplain map for the project area and clearly delineate on this map the exact location of the building or buildings. If you need assistance in locating a floodplain map, please call FEMA's toll free number at 1-800-358-9616.

#### **For any building that is fifty years old or older:**

(1) A letter from the State Historic Preservation Officer (SHPO) indicating whether the building is listed on the National Register of Historic Places or eligible for listing and, if the building is so listed or eligible, the comments of the SHPO as to whether or not the proposed renovation activities will have an adverse effect on the historic integrity of the building. You should be able to obtain the name and address of your SHPO from your State Point of Contact or the website: [www.achp.gov](http://www.achp.gov) In order to provide this response, the SHPO will normally need a letter request from you that includes a narrative description of your proposal, its renovation components, and the location;

photographs of the affected property; and line drawings or sketches of any proposed building modifications.

(2) A statement as to whether or not there is lead-based paint on either the interior or exterior of the building, the basis for this statement, and, if lead-based paint is present, the measures that will be required, if any, under applicable Federal, State, and local requirements to abate this lead-based paint as part of the proposed renovation with this discussion to include the measures to be taken to dispose of any lead-based paint to be removed from the building.

(3) A statement as to whether or not asbestos containing materials are on the interior or exterior of the building, the basis for this statement, and, if any asbestos containing material is present, the measures that will be required, if any, under applicable Federal, State, and local requirements to abate the asbestos containing material(s) as part of the proposed renovation with this discussion to include the measures to be taken to dispose of any asbestos containing material to be removed from the building.

For applicants who include lead-based paint and/or asbestos abatement programs in their applications with the specific buildings to be identified as the program is implemented, only the protective measures, including those for proper disposal, need be discussed within this application. Consultation with the SHPO will be required for each identified building over fifty years old and prior to initiating the abatement project.

For any building that is less than fifty years old, but built prior to 1980:

Provide responses to paragraphs (2) and (3) immediately above.

## **Human Subjects Research and Confidentiality Compliance**

Grantees will be required to comply with 28 CFR 22 and 46.

***Human Subjects Research.*** The applicant should indicate whether activities proposed in the application include research that may involve human subjects, as defined in 28 CFR 46. The DOJ is a signatory to the Federal policy on protection of human subjects of research, the “Common Rule.” DOJ’s incorporation of the Common Rule is set forth in 28 CFR 46, Protection of Human Subjects, which requires that research involving human subjects be submitted to an independent review board for approval and that informed consent procedures are to be followed. The policies set forth in 28 CFR 46 apply to all research involving human subjects conducted, supported, or otherwise subject to regulation by any federal department or agency that has adopted the Common Rule. Federal funds may not be expended for research involving human subjects unless the requirements of this policy have been satisfied, if the research is not covered by an exemption set forth in 28 CFR 46.101(b)(1).

## **Information Technology**

The OJP encourages integration and interoperability of information technology (IT) systems between all justice system agencies and across Federal, State, and local jurisdictional boundaries. IT systems include automated information systems used by each of the justice system components (law enforcement, courts, prosecution, defense, corrections, probation, and parole) in their internal day-to-day business and in communicating with each other. To support State and local justice integration and

interoperability of these systems, OJP asked Governors to designate a “point of contact” to provide information on IT plans and coordination in your State. State and local recipients of awards that will be used in whole or in part for information systems may be required to communicate with this point of contact about their information technology plans. By increasing State and local communication when planning and implementing information technology, OJP funds may be used to support interoperable, rather than isolated, information systems.

The name and address of your State Information Technology Point of Contact can be obtained by calling the OJP customer service line at 1-800-421-6770 or on the OJP webpage: [www.ojp.usdoj.gov](http://www.ojp.usdoj.gov).

### **Purchase of American-Made Equipment and Products**

It is the sense of Congress, as conveyed through the FY 1997 DOJ Appropriations Act, that to the greatest extent practicable, all equipment and products purchased with grant funds should be American-made.

## V. APPLICATION PACKAGE GUIDANCE SUMMARY

### **Checklist**

Applicants should refer to the checklist at the front of this application kit and text appearing above for guidance on assembling their entire applications. The following text discusses only selected portions of the application package.

#### **Use SF-424 for Grant Funds Only**

The SF-424 is used to apply for grant funds. A copy of the SF-424 is provided below, along with an example of a completed form. A budget and budget narrative are required.

A consolidated budget summary must be submitted for the total of EOWS grant funds.

Only EOWS grant funds (and not Asset Forfeiture Funds) should be shown on the SF-424 Application for Federal Assistance and the consolidated budget summary.

A sample budget and consolidated budget summary and a blank appear below.

#### **Use Separate Forms for Asset Forfeiture Funds**

Asset Forfeiture Funds (AFF) are applied for separately and should not be included in the dollar amount requested on the SF-424.

The separate forms for applying for AFF (i.e., application forms and Cost Reimbursement Agreement forms) are described above and blanks and a sample appear below.

## **Site Summary Outline**

Each site must submit a 2-page site summary organized in the following manner:

- Site Name (City, State)
- Background
  - Designated Area
  - Steering Committee
- Strategy Objectives and Activities
  - Law Enforcement
  - Community Policing
  - Prevention/Intervention/Treatment (including Safe Havens)
  - Neighborhood Restoration
- Special Initiatives/Notable Programs
- Evaluations

The main heading should be all caps, bold and underlined. Subtitles should be all caps, bold, in italics. The font should be 12 pt. Times New Roman.

## **Map**

Applicants must include a map depicting the street boundaries of the target area(s), if possible, on 8½ inch x 11 inch paper; and a description in words of the street boundaries of the site.

## **Format**

Applicants must submit an original and 2 unbound copies of their application. A machine-readable 3-1/2" disk containing the text portion of the application in WordPerfect 8 or earlier version is requested but not required. Submission of the FY 2000 application via internet is also acceptable. Call 1-888-549-9901 for assistance. Information is also available on the OJP Grant Management System (GMS) website:  
[www.ojp.usdoj.gov/guidelinesinfo.htm](http://www.ojp.usdoj.gov/guidelinesinfo.htm)

## **Certification Statement for Weed and Seed Sites**

All applicants must fill out and submit the Certification Statement which appears immediately below. This Statement serves as the program narrative. For FY 2000, this form has been reformatted so that each section can be filled out. This Certification must be signed by the U.S. Attorney as well as the applicant.



## CERTIFICATION STATEMENT FOR WEED AND SEED SITES

**This Certification Statement attests that your site has an ongoing Weed and Seed strategy. (Please limit your Statement to 5 pages and include it in your application package.)**

**1. Current Linkages and Services:** Describe the organizational structure of your Weed and Seed collaboration. Please list and describe the strategy's current collaborations and linkages among agencies, organizations, residents, and non-profits, including the membership of the Steering Committee and other stakeholders working with you (Names, Organizations, and Phone Numbers).

2. Sustaining the Weed and Seed Strategy: Discuss accomplishments to date and progress on the achievement of the goals and objectives as stated in your approved Official Recognition application. Please identify and justify any significant changes in project objectives, location, approach, or timelines. Please include an implementation plan which specifies responsible parties and timeframes for addressing all four elements of the strategy (law enforcement, community policing, prevention/intervention/treatment, and neighborhood restoration) for the coming year. Goals and objectives should be clearly linked to the desired outcomes. Benchmarks for performance measures should be included.

3. The Federal Role: What will be the ongoing roles of the U.S. Attorney's Office and other federal agencies? With respect to Other Federal Resources, please provide information to help ensure coordination of federal resources. In particular, (a) what other federal grant programs (whether from the Justice Department or otherwise) are going into your jurisdiction for this, or related, efforts; (b) what other federal grant monies they are currently applying for to support this, or related, efforts;\* and (c) how these would be coordinated. For each, please include the program/project title; the Federal grantor agency; the Federal award amount; and a very brief description of its purpose. This information is requested to encourage better coordination among Federal agencies in addressing State and local needs.

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\*"Related efforts" means:

- o the same purpose (i.e., the proposed award would supplement, expand, complement, or continue activities funded with other Federal grants);
- o another phase or component of the same project (e.g., to implement a planning effort funded by other Federal monies or to provide a substance abuse treatment or education component within a criminal justice project); or
- o providing services of some kind (e.g., technical assistance, research, evaluation) to the project described in your application.

**4. Technical Assistance and Training: Please specify Technical Assistance and Training needs for your site.**

**5. Leveraged Resources:** In this section, please identify leveraging of in-kind assistance and funding for activities and programs that comprise your strategy.

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U.S. Attorney Signature      Date

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Grantee Signature                      Date



## The Community Security Initiative and Other Resources

- I. Description of the Community Security Initiative (CSI) provided by the Local Initiatives Support Corporation (LISC) [edited]

The Community Security Initiative was developed in 1994 by the Local Initiatives Support Corporation (LISC) - in partnership with Harvard University's Program in Criminal Justice Police & Management, and the Police Executive Research Forum - as an experimental approach for integrating public safety and crime control objectives with those of community and economic development. The experiment has proven highly successful.

With initial funding from the C.S. Mott, Metropolitan Life, and Public Welfare Foundation, CSI & its local community development corporation (CDC), and police partners established three demonstration sites in late 1995: Seattle, WA; Kansas City, MO; and Brooklyn, NY. In 1999, Harvard case studies documented program success, highlighting a range of significant accomplishments in the sites studied & pointing to their impact & effectiveness. With additional funding from the Mott, Citigroup, Pinkerton, MacArthur & Kauffman Foundations, CSI has since added operations in Boston, Chicago, & Toledo to its portfolio.

### Goals:

- II. Establish mutually respectful collaborations among CDCs, police & a range of additional diverse stakeholders to improve public safety in targeted communities.
- III. Reduce persistent crime & fear.
- IV. Spur investment of human & financial capital.
- V. Enhance neighborhood vitality.
- VI. Foster greater national awareness & use of the collaborative CSI model.

### Strategy:

- VII. Bring together community groups & police departments in a non-confrontational atmosphere.
- VIII. Bridge communication gaps within & between the organizations.
- IX. Bolster organizational infrastructures with specially tailored assistance & training.
- X. Pinpoint systemic & persistent neighborhood crime problems.
- XI. Develop dynamic plans to resolve identified problems.
- XII. Facilitate continuing cooperation, strategic planning, and bold thinking among the participants.
- XIII. Assess progress periodically with participants.
- XIV. Provide opportunities for cross-site learning of "best practices."
- XV. Offer strategic guidance & outreach through CSI staff, policing experts, & Advisory Board technical assistance.
- XVI. Disseminate program information & "lessons learned" to policymakers, practitioners, funding agencies, and other interested individuals.

## Background

Local Initiatives Support Corporation (LISC) was founded by the Ford Foundation and six corporations in 1979. LISC's mission is to rebuild whole communities by supporting the work of resident-led Community Development Corporations (CDCs) to revitalize individual neighborhoods. CDCs build and rehabilitate affordable housing, attract retail businesses and facilitate social services, thereby restoring distressed areas to economic health. LISC believes that tapping local efforts recognizes most clearly the needs, priorities and capacity of neighborhoods. Initially, LISC's focus was to develop commerce, retail business, community safety, child care, health care, job readiness, youth development and charter school services.

LISC, headquartered in New York, operates program offices in 41 cities and 69 rural areas, involving hundreds of CDCs from coast to coast. The local programs have advisory committees on which serve corporate, philanthropic and community leaders who, like a board of directors, drive local LISC agendas. Each local program also provides financial and technical support for community-driven programs, their priorities defined by area CDCs.

To date, LISC has raised more than \$3 billion from nearly 2000 investors, lenders and donors. LISC has also leveraged an additional \$3.5 billion in public and private sector funds. LISC has helped 1,700 CDCs build or rehabilitate nearly 100,000 affordable homes and has created over 11 million square feet of commercial and community space.

## LISC Program Areas

- Baton Rouge, LA
- Boston, MA
- Buffalo, NY
- Chicago, IL
- Cleveland, OH
- Detroit, MI
- Duluth, MN
- Fairfield County, CT
- Hartford, CT
- Houston, TX
- Northwest Indiana
- Indianapolis, IN
- Jacksonville, FL
- Kalamazoo, MI
- Kansas City, KS & MO
- Las Vegas, NV
- Greater Little Rock, AR
- Los Angeles, CA
- Greater Miami, FL
- Michigan Statewide
- Mid South Delta
- Milwaukee, WI
- Newark, NJ
- New Haven, CT
- New Jersey Multi-City
- New Orleans, LA
- New York City, NY
- Palm Beach County, FL
- Philadelphia, PA
- Phoenix, AZ
- Puget Sound, WA
- Rhode Island
- Richmond, VA
- Rural LISC
- San Diego, CA
- San Francisco Bay Area, CA
- Southwestern Pennsylvania
- Toledo, OH
- Twin Cities, MN
- Washington, DC
- Winston-Salem, NC

**Statement of Technical Assistance Capacity Provided By  
Local Initiatives Support Corporation (LISC) Re:  
Community Security Initiative (CSI)**

Police departments and CDCs, like other government and community organizations, have benefited over the years from both internal and external assistance on a host of management and operational issues. Indeed, many would argue that underlying most of the significant strategic changes attained in business management (TQM, etc.) has been a robust collaboration between internal leaders and outside experts. The best technical assistance usually is carefully tailored to the interests, needs, and opportunities of the client organization. It is not some “off-the-shelf” package of workbooks and videos that is gathering dust in a consultant’s inventory. Customized technical assistance is what LISC’s CSI offers.

CSI works with committed and experienced community development and police practitioners around the country, whose goal is to assess and imaginatively address the implementation obstacles they are confronting within their organizations and from other community and institutional sources as they pursue an array of comprehensive community safety programs. CSI’s relationships with their police and community partners requires intense, recurring contact with the practitioners to develop strong mutual trust and respect.

Trust and respect can be established in many ways. One of the important lessons learned by generations of consultants and their clients is that trust grows best when the consumers and advisors select one another voluntarily rather than have the advisors imposed on the clients by a funder or oversight agency. CSI also builds trust by developing a bond with the key leader(s) of the organizations with which it is working. For instance, CSI provides substantial assistance to first-line officers and middle managers in Seattle and Kansas City, (as well as in its other cities: New York, Boston, Chicago, and Toledo) because of its trusting relationships with their key leaders. Thus, when first-line personnel develop a daring plan of action with their non-police collaborators, CSI can informally test the waters with the police chief to ensure that the intended initiative is consistent in objectives and tactics with the chief’s own preferences.

Despite the cultural and organizational innovations swirling throughout the industry, police agencies for the most part remain highly bureaucratic. Thus, the difference between getting something accomplished or not in time to meaningfully serve the intended community beneficiaries is often finding tolerable short-cuts through bureaucratic underbrush. It’s sometimes amazing how quickly those short-cuts appear once the service-providers realize they have the backing of their organizational leader(s).

Since no single profession or group of people have all the knowledge or capacity to comprehensively address a given problem, CSI prefers working on highly interdisciplinary and multi-lateral projects. To this end, CSI bridges the gaps and lays the foundation for mutually-respectful collaboration between widely diverse practitioners. For example, CSI



often facilitates brainstorming/negotiating meetings with participants who are unfamiliar and possibly suspicious about others in the meeting. CSI's approach to meeting facilitation helps to establish a comfortable atmosphere in which candor becomes safer and the participants feel respected.

Once trust and respect have been established, CSI has a diverse set of technical assistance tools to offer its local partners:

- CSI trains policymakers, community leaders, police practitioners, and service providers to distinguish between “conceptual failures” and “implementation failures.” This enables organizations to become what private sector management consultants call “learning organizations,” which can develop and employ institutional knowledge about what works and does not work in particular circumstances.
- Often, leaders of diverse organizations are unable to reliably ascertain how successfully important policies have been implemented at the level of service delivery. CSI helps bridge communication gaps within and between organizations and between organizations and individuals so that timely, honest feedback can inform policy decisions and practice.
- CSI gives practitioners who are caught up in day-to-day battles opportunities to pause to evaluate their progress as measured against strategic goals and core values. CSI provides an unthreatening atmosphere focused on problem solving rather than finger-pointing.
- CSI and participants develop practical check-lists of the participants’ key goals and principles, which the organizations can use to measure whether they are straying off course. Knowing how to help practitioners honestly identify, admit to, and redress unintended consequences of their efforts is one of CSI’s key services.
- CSI works with community and police leaders to develop and maintain an atmosphere in which first-line personnel are allowed to make well-intended mistakes and learn from them rather than be punished and inhibited from taking important risks in the future.
- CSI strategizes with participants so as to pinpoint problems and identify opportunities that are small enough to change, yet systemic enough to produce lasting benefits.
- CSI provides practitioners with an array of topical training and with the most recent literature on community policing and community development and offers knowledge from cross-site learning from the other CSI cities.
- Traditionally, police employees, especially sworn members of forces, are intensively socialized into an organizational culture that prizes professional and personal isolation from average citizens in the police service population. Thus, CSI offers remedial training and assistance in the terms of engagement between police and community partners for problem-solving.
- Practitioners’ willingness to test the waters and discover whether they like the new partnerships is vastly assisted if they can be shown real-life examples of successful police-community partnerships elsewhere. Hence, CSI arranges “hosted visits” for key practitioners, where the skeptical can “kick the tires” and ask hard questions before committing to a program in their area.
- CSI assists community policing partnerships in developing a strategy for tapping marketing and other communications experts for free or discount services to devise

- campaigns to get the partnership's message to the public and other stakeholders.
- CSI bolsters practitioners' organizational infrastructures by performing needs assessments and devising improvements in: crime analysis; research and development; training programs; informational management systems; performance appraisal and evaluation systems; resource allocation; internal communications and so forth.
- CSI helps ensure that those employees situated at mid-levels of the bureaucracy facilitate progress instead of impede it.

To contact the CSI, please call or write:

Lisa Belsky

Program Director

CSI

LISC

733 3<sup>rd</sup> Avenue, 8th Floor

New York, NY 10019

Phone: (212) 455-9824

Fax: (212) 682-5929

e-mail: lbelsky@liscnet.org

Website: www.liscnet.org

## II. Other Resources

In designing elements of a Weed and Seed strategy, sites may wish to consult the following sources for ideas on programs and resources.

### A) Gun Abatement

Information on gun abatement strategies can be found in the Office of Juvenile Justice and Delinquency Prevention's 1999 publication, "Promising Strategies to Reduce Gun Violence", NCJ 173950, which can be ordered from the Juvenile Justice Clearinghouse via 1-800-638-8736.

### B) Crime Mapping and Analysis

Technical assistance and training in crime mapping and analysis are available from the National Institute of Justice's Crime Mapping Research Center (website: [www.ojp.usdoj.gov/cmrc](http://www.ojp.usdoj.gov/cmrc)). Crime mapping and analysis are key elements of the DOJ's Strategic Approaches to Community Safety model. Further information on this model is available in the October 1999 edition of the ***NIJ Journal***, which is available from the National Criminal Justice Reference Service (1-800-851-3420) or by contacting Amy Solomon of NIJ, at (202) 305-7941.

### C) Truancy

The bulletin ***Truancy: First Step to a Lifetime of Problems*** is one of a series of Department of Justice Bulletins focusing on strategies in the Youth Out of the Education Mainstream (YOEM) initiative. YOEM is a joint effort of the Office of Juvenile Justice and Delinquency Prevention and the Safe and Drug-Free Schools Program, U.S. Department of Education. Copies of this bulletin and related juvenile justice materials can be obtained through from the DOJ's Juvenile Justice Clearinghouse (800) 638-8736.

### D) Conflict Resolution

Note: Sites may wish to take advantage of Conflict Resolution training offered by the National Center for Conflict Resolution Education (NCCRE). Because NCCRE is supported by a grant awarded by OJP's Office of Juvenile Justice and Delinquency Prevention, NCCRE provides seminars without charging a professional fee. Therefore, the only charge to a Weed and Seed site would be a \$60 materials fee plus that amount of travel expenses which exceeds \$500, up to which amount the site would be responsible. NCCRE can be reached by calling Russell Brunson at (217) 384-4118 or by e-mail at [brunson@nccre.org](mailto:brunson@nccre.org).

### E) Justice Innovations

Resources regarding Community Justice and other Justice Innovations include the following:

"Communities: Mobilizing Against Crime, Making Partnerships Work," (August 1996). DOJ, National Institute of Justice Journal.

"Responding to the Community: Principles for Planning and Creating a Community Court," (November 1997). DOJ, Bureau of Justice Assistance Bulletin.

"Peer Justice and Youth Empowerment – An Implementation Guide for Teen Court Programs" from DOJ's Juvenile Justice Clearinghouse, (800) 638-8736.

"Defining Drug Courts: The Key Components," (January 1997). DOJ, OJP, Drug Courts Program Office.

Community Justice Exchange website: [www.communityjustice.org](http://www.communityjustice.org)

Copies of publications are available through the NCJRS Clearinghouse (800) 688-4252. Additional community justice materials can be obtained through the American Probation and Parole Association, located with the Council of State Governments' Center for Law and Justice (606) 244-8203. Additional Drug Court materials can be obtained through the Drug Court Clearinghouse and Technical Assistance Project at American University (202) 885-2875.

## **F) Anti-Gang Crime Initiative**

Information on gangs can be obtained from the National Youth Gang Center's internet website: [www.iir.com/nygc/](http://www.iir.com/nygc/) and from the OJJDP Juvenile Justice Clearinghouse via 1-800-638-8736.

## **G) Mentoring**

Information on mentoring can be obtained by calling:

--The National Association of Police Athletic Leagues: (561) 844-1823

E-mail: [copnkid1@aol.com](mailto:copnkid1@aol.com)

--Boys and Girls Club National Office: (301) 251-6676

--America's Promise: (703) 684-4500; [www.americaspromise.org](http://www.americaspromise.org)

## **H) Anti-Drug/Alcohol Abuse Strategies**

Examples include: drug market analysis; enforcement focusing on "hot spots" such as nuisance bars; drug testing part of pretrial supervision; frequent, random drug testing for probationers and parolees; drug prosecution; drug/alcohol treatment; the costs of operating or enhancing Drug Education For Youth (DEFY) leadership camps and follow-on mentoring activities; and Boys and Girls Club programs for teenagers as sequels to site DEFY activities.

Additional information on this subject area can be obtained by contacting:

--Community Anti-Drug Coalitions of America: (703) 706-0560 [www.cadca.org](http://www.cadca.org)

--Fighting Back/Join Together: (617) 437-1500 [www.jointogether.org](http://www.jointogether.org)

--Race Against Drugs, via National Child Safety Council: (517) 764-6070

--Al-Anon World Service Office: (757) 563-1600 [www.al-anon.alateen.org](http://www.al-anon.alateen.org)

--Nar-Anon World Service Office: (301) 547-5800

## **I) Environmental Activities**

Further information about a wide variety of environmental activities can be obtained via the U.S. Environmental Protection Agency website: [www.epa.gov](http://www.epa.gov) and via the website: [www.environmentalgrants.com](http://www.environmentalgrants.com)

For further information about lead poisoning, call: 1-800-424-LEAD and see the website: [www.hud.gov/lea/](http://www.hud.gov/lea/)

## **J) Computer Learning Centers**

Sites which select this special emphasis initiative area may use the services of the Weed and Seed "Seedtech" provider--Urban Technology Center (UTC) Inc., a nonprofit corporation, to build the technological and administrative capabilities of the site by providing consulting services and support, recommend and procure hardware, software, and Internet Service. UTC can be reached at (800) 999-3212.

## **K) Victim Services**

Information and assistance on victim issues and program development can be obtained through the OVC website, the OVC Resource Center, and the OVC Training and Technical Assistance Center. OVC's website provides information on its programs and services as well as links to other victim-related resources. The OVC Resource Center is an information clearinghouse that provides research findings, statistics, and literature on emerging victim issues. Information is available 24 hours a day through the Internet and Fax-on-Demand. The Training and Technical Assistance Center (TTAC) provides expert support and mentoring in areas such as needs assessments, program development, management, evaluation, and policy and procedure development to facilitate long-term, systemic change to improve services to crime victims. TTAC also provides training programs, speakers for conferences and other meetings, and maintains a pool of experts who can provide effective on-site technical assistance to address specific problems and needs.

OVC Website	<a href="http://www.ojp.usdoj.gov/ovc">www.ojp.usdoj.gov/ovc</a>
OVC Resource Center	(800) 627-6872
OVC Resource Center Website	<a href="http://www.ncjrs.org">www.ncjrs.org</a>
OVC Training and Technical Assistance Center	(800) 627-6872
	E-mail: <a href="mailto:TTAC@ovcttac.org">TTAC@ovcttac.org</a>

## **L) Re-entry Programs for Offenders**

For information on establishing re-entry programs for offenders, you may contact Ms. Julie Allard at the Institute for Law and Justice via (703) 684-5300 or via: [nijcp@ilj.org](mailto:nijcp@ilj.org).

### Criteria for Competitive Funding

**--Absolute Requirement:** Did the U.S. Attorney sign the certification? Sites not meeting the absolute requirements will not be reviewed further. Grant packages for sites meeting the absolute requirement will be prepared based on the following:

**--Weighted Criteria. Scores will be used to rank sites. Sites with highest scores will be allocated funding until available funding is exhausted.**

- 1) Did the applicant submit an application meeting all requirements of the checklist in the Application Kit? 1 point
- 2) Would this site be the first funded site in the US Attorney District? 2 points
- If the applicant would be the second or third site in the US Attorney District 1 point
- 3) Does the application include explicit coordination with an overlapping federally designated Empowerment Zone (EZ) or Enterprise Community (EC) or HUD Hope VI site? 1 point
- 4) Is the leveraging reported in the application documented by letters or MOUs attached to the application? 1 point
- 5) Was the site granted Official Recognition letter in 1999? 1 point
- 6) Does the application provide for a full-time coordinator (Funded by reallocation of existing resources or grant funds requested in the application)? 1 point
- 7) Is the applicant within a federal district, territory, or reservation? 1 point
- 8) Is the designated area in the application in one of the top 100 Uniform Crime Reports (UCR) rate cities or an area designated for a special initiative by DOJ? 1 point

OMB Approval No. 0348-0043

APPLICATION FOR FEDERAL ASSISTANCE		2. DATE SUBMITTED	Applicant Identifier
1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE	State Application Identifier
<i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. EMPLOYER INFORMATION			
Legal Name:		Organizational Unit:	
Address (give city, county, state and zip code):		Name and telephone number of the person to be contacted on matters involving the application (give area code)	
6. EMPLOYER IDENTIFICATION (EIN) <div><input type="text"/><input type="text"/><input type="text"/> - <input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/></div>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private Industry K. Indian Tribe L. Individual M. Profit Organization N. Other (specify): _____	
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify): _____		9. NAME OF FEDERAL AGENCY:	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div><input type="text"/><input type="text"/><input type="text"/> - <input type="text"/><input type="text"/><input type="text"/></div> TITLE:		11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT:	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):			
13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$ .00	a. YES, THIS PREAPPLICATION/APPLICATIN WAS MADE A VAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____	
b. Applicant	\$ .00	b. NO, <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372	
c. State	\$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
d. Local	\$ .00		
e. Other	\$ .00		
f. Program Income	\$ .00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
g. TOTAL	\$ .00	<input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED			
a. Typed Name of Authorized Representative		b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed	

## Instructions for Completion of the Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most federal agencies. This form contains 18 different items which are to be completed before submission. All applications should include a completed and signed SF 424.

Item	Instructions
1	<b>Type of Submission:</b> If this proposal is not for construction or building purposes, check the “Non-Construction” box in the application section.
2	<b>Date Submitted:</b> Indicate the date you sent the application to OJP. The “Application Identifier” is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.
3	<b>Date Received by State:</b> Leave blank. This item is completed by the State single point of contact, if applicable.
4	<b>Date Received by Federal Agency:</b> Leave blank. This item will be completed by OJP.
5	<b>Applicant Information:</b> The “Legal Name” is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact and include their telephone number. It is not unusual for the name of the contact person to differ from the authorized representative in Item 18 below.
6	<b>Employer Identification Number:</b> Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency’s accountant or comptroller.
7	<b>Type of Applicant:</b> Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium”.
8	<b>Type of Application:</b> Check either “new” or “continuation”. Check “new”, if this will be your first award for the purpose described in the application, even if the applicant has received prior awards for other purposes. Check “continuation”, if the project will continue activities of a project, including minor modifications, or implement the next phase of a project that was begun under a prior award.
9	<b>Name of Federal Agency:</b> Type in the name of the awarding agency, “[insert agency name]”
10	<b>Catalog of Federal Domestic Assistance Number:</b> This would be contained in the program announcement. The number for this program would be [insert number].
11	<b>Descriptive Title of Applicant’s Project:</b> Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U.S. Department of Education; and (3) applicant’s fiscal year, i.e. twelve month audit period, ex. 10/1/97 - 9/30/98.
12	<b>Areas Affected by Project:</b> Identify the geographic area(s) of the project. Indicate “Statewide” or “National”, if applicable.
13	<b>Proposed Project Dates:</b> Fill in the proposed begin and end dates of the project. These dates may be adjusted by the Office of Justice Programs when the award is made.
14	<b>Congressional Districts:</b> Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate “Statewide” or “National”, if applicable.
15	<b>Estimated Funding:</b> In line “a”, enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will be available to the project and the source of those funds on lines “b-f,” as appropriate.
16	<b>State Executive Order 12372:</b> Some states require you to submit your application to a State “Single Point of Contact” (SPOC) to coordinate applications for Federal funds within the state. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the “Administrative Requirements” section of the program announcement, for more information.) The SPOC is not responsible for forwarding your application to the Federal awarding agency.
17	<b>Delinquent Federal Debt:</b> This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.



18	<b>Authorized Representative:</b> Type in the name of the person legally authorized to enter into agreements on behalf of your agency. The signature on the original application must be signed in blue ink and/or stamped as “original” to help distinguish the original from the photocopies.
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**APPLICATION FOR  
FEDERAL ASSISTANCE**

<b>1. TYPE OF SUBMISSION:</b> <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b> April 28, 2000		Applicant Identifier N/A	
		<b>3. DATE RECEIVED BY STATE</b> April 28, 2000		State Application Identifier N/A	
<input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>		Federal Identifier	
<b>5. APPLICANT INFORMATION</b>					
Legal Name: City of Anycity			Organizational Unit: Governor's Planning Agency		
Address (give city, county, state, and zip code): City of Anycity 1234 Anycity Street Anycity, US 12345			Name and telephone number of the person to be contacted on matters involving this application (give area code) John James 123-456-7890 123-456-7891 (FAX)		
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <div style="border: 1px solid black; padding: 2px; display: inline-block;">         1 2 - 3 4 5 6 7 8 9       </div>			<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <span style="border: 1px solid black; padding: 0 5px;">C</span>		
<b>8. TYPE OF APPLICATION:</b> <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision  If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify): Weed and Seed			A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District		
			H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify): _____		
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b>			<b>9. NAME OF FEDERAL AGENCY:</b>		
TITLE:			OJP/EOWS		
<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b> City of Anycity			<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> Weed and Seed Fiscal Year - July 1 - June 30 Cognizant Federal Agency - HUD		
<b>13. PROPOSED PROJECT:</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>			
Start Date	Ending Date	a. Applicant		b. Project	
08/01/00	07/31/01	US 1st District		US 1st District	
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>			
a. Federal	\$ 175,000 .00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE 04/28/00			
b. Applicant	\$ .00	b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW			
c. State	\$ .00				
d. Local	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <input type="checkbox"/> Yes    If "Yes," attach an explanation. <input checked="" type="checkbox"/> No			
e. Other	\$ .00				
f. Program Income	\$ .00				
g. TOTAL	\$ 175,000 .00				
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED</b>					
a. Typed Name of Authorized Representative Joseph Jones		b. Title Agency Head		c. Telephone number 123-456-7890	
d. Signature of Authorized Representative				e. Date Signed 04/28/00	

(Grantee Letter)  
SAMPLE  
SUPPLANTING CERTIFICATION LETTER

Mr. Stephen Rickman  
Director  
Executive Office for Weed and Seed  
Office of Justice Programs  
810 7th Street, NW  
Washington, DC 20531

Dear Mr. Rickman:

This letter serves as certification that federal funds provided by the Office of Justice Programs, Executive Office for Weed and Seed, will not be used to supplant state or local funds. Federal funds will be used to supplement existing funds for Weed and Seed program activities and will not replace those funds which have been appropriated for the same purpose.

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(Authorized Representative)



U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ☐ if the State has elected to complete OJP Form 4061/7.

#### **DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

## ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976, Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of Investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C,D,E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

# Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse side for Instructions.)

**Public Reporting Burden** for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee      Tier _____, if known:     Congressional District, if known: _____		<b>5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime:</b>     Congressional District, if known: _____
<b>6. Federal Department/Agency:</b>    	<b>7. Federal Program Name/Description:</b>   CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b> _____	<b>9. Award Amount, if known:</b> \$ _____	
<b>10a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI): _____     	<b>b. Individuals Performing Services</b> (including address if different from No. 10a.) (last name, first name, MI): _____     	

11. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature: \_\_\_\_\_  
 Print Name: \_\_\_\_\_  
 Title: \_\_\_\_\_  
 Telephone No.: \_\_\_\_\_ Date: \_\_\_\_\_

Federal Use Only:

Authorized for Local Reproduction  
Standard Form-LLL (1/96)

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## Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.





U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS

## ACCOUNTING SYSTEM AND FINANCIAL CAPABILITY QUESTIONNAIRE

### SECTION A: PURPOSE

The financial responsibility of grantees must be such that the grantee can properly discharge the public trust which accompanies the authority to expend public funds. Adequate accounting systems should meet the following criteria as outlined in the OJP guideline manual entitled, "Financial and Administrative Guide for Grants".

- (1) Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and expenditure of funds for each grant, for each action program covered by a State's grants and for each subgrant awarded by the State.
- (2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.
- (3) The accounting system should provide accurate and current financial reporting information.
- (4) The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.

### SECTION B: GENERAL

1. Name of Organization:

2. Type of Organization: For-profit ☐ Not-for-profit ☐  
Other ☐ Explain: \_\_\_\_\_

3. If your firm publishes a general information pamphlet setting forth the history, purpose and organizational structure of your business, please provide this office with a copy; otherwise, complete the following items:

a. When was the organization founded/incorporated? (month, day, year)

b. Principal Officers

Titles

c. Employer Identification Number:

d. Number of Employees

Full Time: Part Time:

4. Is the firm affiliated with any other firm?  
If "yes", provide details:

☐ Yes ☐ No

5. Total Sales/Revenues in most recent accounting period. (12 months) \$

### SECTION C: ACCOUNTING SYSTEM

1. Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contract/grants? ☐ YES ☐ NO

a. If yes, provide name and address of Agency performing review:

b. Attach a copy of the latest review and any subsequent correspondence,

Note: If review occurred within the past three years, omit questions 29 of this Section and Section D.

2. Which of the following best describes the accounting system? ☐ Manual ☐ Automated ☐ Combination

3. Does the organization use a double entry system in accounting for program funds? ☐ Yes ☐ No ☐ Not Sure

4. Does the accounting system identify the receipt and expenditures of program funds separately for each ☐ Yes ☐ No ☐ Not Sure

5. Does the accounting system provide for the recording of expenditures for each grant/contract by the component project and budget cost categories shown in the approved budget? ☐ Yes ☐ No ☐ Not Sure

6. Are time distribution records maintained for an employee when his/her effort can be specifically identified to a particular cost objective? ☐ Yes ☐ No ☐ Not Sure

7. If the organization proposes an overhead rate, does the accounting system provide for the segregation of direct and indirect expenses? ☐ Yes ☐ No ☐ Not Sure

8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:

a. Total funds available for a grant?

☐ Yes ☐ No ☐ Not Sure

b. Total funds available for a budget cost category (e.g., Personnel, Travel,

☐ Yes ☐ No ☐ Not Sure

9. Is the firm generally familiar with the existing regulations and guidelines containing the cost principles and procedures for the determination and allowance of costs in connection with Federal contract/grants?

☐ Yes ☐ No ☐ Not Sure

		<b>SECTION D: FUND CONTROL</b>			
1. Is a separate bank account maintained for grant/contract?		<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure	
2. Is a Federal grant/contract funds are commingled with organizational funds, can the Federal grant funds and related costs and expenses be readily identified?		<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure	
3. Are the officials of the firm bonded?		<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure	
		<b>SECTION E: FINANCIAL STATEMENTS</b>			
1. Did an independent certified public accountant (CPA) ever examine the financial statements?		<input type="checkbox"/> Yes	<input type="checkbox"/> No		
2. If an independent CPA review was performed, please provide this office with a copy of their latest report and any management letters issued?		<input type="checkbox"/> Enclosed	<input type="checkbox"/> N/A		
3. If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below:					
4. If an independent CPA has never examined your financial statements, please develop and provide this office with a copy of the following financial statements: a. A detailed "Balance Sheet" for the most current and previous year; and b. A detailed "Income Statement" for the most current and previous year.					
		<b>SECTION F: ADDITIONAL INFORMATION</b>			
1. Use this space for any additional information (indicate section and item numbers if a continuation)					
		<b>SECTION G: APPLICANT CERTIFICATION</b>			
I certify that the above information is complete and correct to the best of my knowledge.					
1. Signature and Date			b. Firm Name, Address, and Telephone Number		
a. Title			c. Applicant Identifier Number		
		<b>SECTION H: CPA CERTIFICATION</b>			
The purpose of the CPA certification is to assure the Federal agency that the recipient can establish fiscal controls and accounting procedures which assure Federal and State/local funds available for the conduct of the grant programs and the projects are disbursed and accounted for properly.					
1. Signature and Date			b. Firm Name, Address, and Telephone Number		
a. Title					

Public reporting burden for this collection of information is estimated to average 4 hour per response including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of the Comptroller, Office of Justice Programs, U.S. Department of Justice, Washington, D.C. 20531; and to the Public Use Reports Project, 11210021, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

# NATIONAL DIRECTORY UPDATE

**PLEASE PROVIDE COMPLETE AND ACCURATE INFORMATION FOR THE FOLLOWING REPRESENTATIVES:**

NAME OF SITE: \_\_\_\_\_

DATE: \_\_\_\_\_

UNITED STATES ATTORNEY	GRANTEE OFFICIAL POINT OF CONTACT
Name: _____ Title: _____ District: _____ Address: _____ _____ Phone: _____ Fax: _____ E-Mail: _____	Name: _____ Title: _____ Agency: _____ Address: _____ _____ Phone: _____ Fax: _____ E-Mail: _____
USAO CONTACT	DAY TO DAY COORDINATOR
Name: _____ Title: _____ Agency: _____ Address: _____ _____ Phone: _____ Fax: _____ E-Mail: _____	Name: _____ Title: _____ Agency: _____ Address: _____ _____ Phone: _____ Fax: _____ E-Mail: _____ <b>(Important)</b>
CHIEF OF POLICE	LAW ENFORCEMENT/AFF CONTACT
Name: _____ Title: _____ Agency: _____ Address: _____ _____ Phone: _____ Fax: _____ E-Mail: _____	Name: _____ Title: _____ Agency: _____ Address: _____ _____ Phone: _____ Fax: _____ E-Mail: _____

## **Definitions**

- 1) United States Attorney** - current United States Attorney serving the site's district.
  - 2) USAO Contact** - contact person at the U.S. Attorney's Office who provides assistance and support to the Weed and Seed site (e.g. LECC Coordinator, Assistant U.S. Attorney, etc.)
  - 3) Chief of Police** - chief of police serving the Weed and Seed target area.
  - 4) Grantee Official Point of Contact** - person to be contacted on official matters involving this application and authorized to enter into contracts for the agency (e.g. person who signed application).
  - 5) Day to Day Coordinator** - person who handles the day-to-day operations and administrative requirements of the Weed and Seed strategy (e.g. coordinates Seeding and Weeding elements, prepares progress reports, organizes steering committee meetings, has continuous contact with the Executive Office for Weed and Seed on matters involving the grant and budget, etc.)
  - 6) L.E./AFF Contact** - person administering the asset forfeiture fund or law enforcement strategy in the target area (e.g. weeding coordinator)
- (Please attach a separate sheet with additional names if necessary)**

**OMB Approval No. 1121-0188**  
**Expires 5-98 (Rev. 12/97)**

### Budget Detail Worksheet

**Purpose:** The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

**A. Personnel** - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

<u>Name/Position</u>	<u>Computation</u>	<u>Cost</u>
1) Weed and Seed Coordinator	\$35,000/year @ 100%	\$35,000
<b>TOTAL:</b>		<u>\$35,000</u>

**B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation. (Note: Explain what is included in the benefit package and at what percentage.)

<u>Name/Position</u>	<u>Computation</u>	<u>Cost</u>
1) Weed and Seed Coordinator	\$35,000 x 18.55%	\$6,493
FICA @	6.2%	
Health/Life insurance @	8.9%	
Workers comp @	2.0%	

Medical Tax	@	1.45%
Total:		18.55%

	<b>TOTAL:</b>	<u>\$6,493</u>
Total Personnel & Fringe Benefits:		<u>\$41,493</u>

**C. Travel** - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

<u>Purpose of Travel</u>	<u>Location</u>	<u>Item</u>	<u>Computation</u>	<u>Cost</u>
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(At a minimum, there must be \$7,500 in this category)

A) National Workshops and Conferences: type and number to be determined by EOWS  
(Total: \$7,500)

1) 1 person @ \$1000/trip x 7 trips	(Best estimate. Location TBD)	\$7,000
Air fare	\$500/trip	
Hotel	\$100/night x 3 nights = \$300	
Per Diem	\$40/day x 4 days = 160	
Incidentals (taxi cabs, etc.)	\$40/trip	
Total	\$1,000	
2) Regional Meeting: 1 person @ \$500/ trip x 1 trip (Best estimate. Location TBD)	\$500	
Mileage (or airfare not to exceed)	300 miles x \$0.325/mi. x 2 ways = \$195	
Hotel	\$92.50/night x 2 nights = \$185	
Per Diem	\$40/day x 3 days = \$120	
Total	\$500	

B) Other Travel: to be determined

1) 3 people @ \$1000/trip x 2 trips	(Best estimate. Location TBD)	\$6,000
Air fare	\$500/trip	
Hotel	\$100/night x 3 nights = \$300	
Per Diem	\$40/day x 4 days = 160	
Incidentals (taxi cabs, etc.)	\$40/trip	
Total	\$1,000	
2) Regional/Statewide Meeting: 5 people @ \$500/ trip x 1 trip		\$2,500
(Best estimate. Location TBD)		
Mileage (or airfare not to exceed)	300 miles x \$0.325/mi. x 2 ways = \$195	

Hotel	\$92.50/night x 2 nights = \$185
Per Diem	\$40/day x 3 days = \$120
Total	\$500

**TOTAL:**     \$16,000

**D. Equipment** - List non-expendable items that are to be purchased. (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

<u>Item</u>	<u>Computation</u>	<u>Cost</u>
1) Computer for coordinator		\$1,500
2) Printer		\$500
3) Computers for Learning Center (10 computers @ \$1,500 per unit)		\$15,000
4) Color printer for Learning Center		500

(Best estimate.)

**TOTAL:**     \$17,500

**E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

<u>Supply Items</u>	<u>Computation</u>	<u>Cost</u>
Weed and Seed Office Supplies	\$167.25/month @ 12 months	\$2,007
File folders and accessories @ \$25 each		
Rollerball Pens @ \$10.25 per pack		
Microcassette tapes @ \$30 each		
Printer cartridges @ \$40 each		

Office supplies and postage are needed for general operation of the program.

Tutors (\$125/wk x 4wks/month x 8 months x 10 tutors)	\$10,000
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Note: The required \$40,000 for a Safe Haven does not necessarily have to be contractual services as listed here, but may be distributed among all budget categories as appropriate. Be sure to indicate which expenditures are specifically for the Safe Haven.

2) Inter-generational Program for the community seniors and youth Arts and Crafts Instructor (\$14/hour x 10hrs/wk x 50 weeks)	\$7,000
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3) Internet Service Provider	\$1,000
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<b>TOTAL:</b>	<u>\$48,000</u>
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**H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

<u>Description</u>	<u>Computation</u>	<u>Cost</u>
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<b>TOTAL:</b>	<u>\$0</u>
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**I. Indirect Costs** - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, ( a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

**Description**

**Computation**

**Cost**

**TOTAL:**          \$0

**Budget Summary** - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

<i>Budget Category</i>	<i>EOWS Core</i>	<i>Safe Haven</i>	<i>TOTAL</i>
<b>Personnel</b>	\$35,000	\$0	\$35,000
<b>Fringe</b>	\$6,493	\$0	\$6,493
<b>Travel</b>	\$16,000	\$0	\$16,000
<b>Equipment</b>	\$17,500	\$0	\$17,500
<b>Supplies</b>	\$2,007	\$0	\$2,007
<b>Construction</b>	\$0	\$0	\$0
<b>Contractual</b>	\$8,000	\$40,000	\$48,000
<b>Other</b>	\$0	\$0	\$0
<b><u>TOTAL Direct Costs</u></b>	<b><u>\$85,000</u></b>	<b><u>\$40,000</u></b>	<b><u>\$125,000</u></b>
<b>Indirect Costs</b>	\$0	\$0	\$0
<b>TOTAL Project Costs</b>	<b>\$85,000</b>	<b>\$40,000</b>	<b>\$125,000</b>

*Overall Summary*

*Budget Category*

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	<b>Total Budget</b>
<b>Personnel</b>	\$35,000
<b>Fringe</b>	\$6,493
<b>Travel</b>	\$16,000
<b>Equipment</b>	\$17,500
<b>Supplies</b>	\$2,007
<b>Construction</b>	\$0
<b>Contractual</b>	\$48,000
<b>Other</b>	\$0
<b><u>TOTAL Direct Costs</u></b>	<b><u>\$125,000</u></b>
<b>Indirect Costs</b>	\$0
<b>TOTAL PROJECT COSTS:</b>	<b>\$125,000</b>

## **Budget Narrative**

### **Personnel (\$35,000)**

A request of \$35,000 will cover personnel costs for the full-time Weed and Seed Coordinator.

### **Fringe (\$6,493)**

A request of \$6,493 will cover the fringe benefits for the Weed and Seed Coordinator at a rate of \$18.55%. A breakdown of the rate is included in the Budget Detail Worksheet.

### **Travel (\$16,000)**

A request of \$16,000 to cover the costs to travel to Weed and Seed conferences and meetings. We estimated the cost of each trip to be approximately \$1,000 per trip, with four people in attendance of a total of four trips (\$1,000 x 4 people x 4 trips). We realize that prior any travel, the site needs pre-approval by EOWS.

### **Equipment (\$17,500)**

A request of \$2,000 for a computer (\$1,500) and printer (\$500) for the Weed and Seed Coordinator to conduct Weed and Seed business via e-mail, Internet, etc, to help prepare required reports to the Office of Justice Programs, and to prepare newsletters for residents in the target area.

A request of \$15,500 is made to cover costs for supplying the computer lab with 10 computers at \$1,500 each, plus one printer (\$500) for the lab. This will be used by both children and adults for various trainings and educational uses.

### **Supplies (\$2,007)**

A request of \$2,007 will be to cover supply costs for the Coordinator and the Weed and Seed office.

### **Contractual (\$48,000)**

A request of \$40,000 for Safe Haven activities is requested. The Computer Instructor will conduct computer training in the computer lab. The Community Outreach Trainer will develop a curriculum for Community Outreach and train neighborhood associations on the curriculum. The Tutors will tutor children at the Safe Haven after school daily. The Arts and Crafts Instructor will develop and institute an inter-generational program for the community seniors and youth, which will develop skills and foster mentoring using the roll-models which already exist in the community. The instructor will match the seniors with the children based on their needs and interests. Internet service will be provided to the 11 computers.

## Budget Detail Worksheet

**Purpose:** The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

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**A. Personnel** - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

**Name/Position**

**Computation**

**Cost**

**TOTAL** \_\_\_\_\_

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Name/Position	Computation	Cost
<p style="text-align: right;"><b>TOTAL</b> _____</p>		
<p style="text-align: right;"><b>Total Personnel &amp; Fringe Benefits</b></p>		_____

[illegible]**TOTAL**

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**D. Equipment** - List non-expendable items that are to be purchased. (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

<b>Item</b>	<b>Computation</b>	<b>Cost</b>
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**TOTAL** \_\_\_\_\_

**E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
		<b>TOTAL</b> _____

**F. Construction** - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
		<b>TOTAL</b> _____



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**G. Consultants/Contracts** - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
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Subtotal \_\_\_\_\_

**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
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Subtotal \_\_\_\_\_

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
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Subtotal \_\_\_\_\_

**TOTAL** \_\_\_\_\_

**H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
		<b>TOTAL</b> _____

**I. Indirect Costs** - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, ( a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
		<b>TOTAL</b> _____

**Budget Summary** - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

<b>Budget Category</b>		<b>Amount</b>
<hr/>		
<b>A.</b>	<b>Personnel</b>	
<b>B.</b>	<b>Fringe Benefits</b>	_____
<b>C.</b>	<b>Travel</b>	_____
<b>D.</b>	<b>Equipment</b>	_____
<b>E.</b>	<b>Supplies</b>	_____
<b>F.</b>	<b>Construction</b>	_____
<b>G.</b>	<b>Consultants/Contracts</b>	_____
<b>H.</b>	<b>Other</b>	_____
	<b>Total Direct Costs</b>	_____
<b>I.</b>	<b>Indirect Costs</b>	_____
	<b>TOTAL PROJECT COSTS</b>	_____

**Federal Request** \_\_\_\_\_

**Non-Federal Amount** \_\_\_\_\_



U.S. Department of Justice

Washington, D.C. 20530

JUL - 1 1997

MEMORANDUM

TO: Assistant Attorney General, Criminal Division  
Assistant Attorney General, Office of Justice Programs  
Director, Executive Office for U.S. Attorneys  
Director, Federal Bureau of Investigation  
Administrator, Drug Enforcement Administration  
Commissioner, Immigration & Naturalization Service  
Director, U.S. Marshals Service  
Chief Postal Inspector, Postal Inspection Service  
Chief of Police, U.S. Park Police

FROM: Stephen R. Colgate  
Assistant Attorney General  
for Administration *Stephen R. Colgate*

SUBJECT: Guidance on Use of the Assets Forfeiture Fund (AFF) to  
Pay State and Local Law Enforcement Officer Overtime  
and Other Costs In Joint Law Enforcement Operations

CANCELLATION: Guidance on this subject issued on September 8,  
1994, by Cary H. Copeland, Director and Chief  
Counsel, Executive Office for Asset Forfeiture, is  
hereby cancelled.

Since 1994, the Department of Justice has made funds available from the AFF for the payment of various costs incurred by state and local law enforcement officers participating in joint law enforcement operations with federal agencies. In 1996, AFF monies were provided to support the Weed and Seed program, the Organized Crime Drug Enforcement Task Forces, the Drug Enforcement Administration's State and Local Task Force Program, and the Federal Bureau of Investigation's Safe Streets and Violent Crime Task Force programs. Since guidance was first issued on this matter, numerous questions have arisen regarding the application of the guidance to specific situations. This memorandum replaces the previous guidance and attempts to clarify various outstanding issues.

### Statutory Authority

Section 524(c)(1)(I)<sup>1</sup> of title 28, United States Code, states that the Assets Forfeiture Fund may be used for:

"(I) payment of overtime salaries, travel, fuel, training, equipment, and other similar costs of state or local law enforcement officers that are incurred in a joint law enforcement operation with a federal law enforcement agency participating in the Fund".

This authority was added to the AFF by Public Law 102-393, dated October 6, 1992, as part of the effort to replicate operating authorities between the AFF and the newly created Treasury Forfeiture Fund. This provision originated with the former Customs Forfeiture Fund and was designed to encourage state and local law enforcement agencies to assign their officers to assist with federal customs operations. Inclusion of this authority in the AFF was considered consistent with the purposes for which the AFF was created...foremost, to support the federal asset forfeiture program, and, secondarily, if excess funds are available, to support federal law enforcement programs.

### General Considerations

In considering the manner in which this authority may be used, we cannot ignore the basic nature of the AFF. The AFF is a working or revolving fund, with both a revenue and expense side. It does not receive appropriations from the General Fund of the Treasury and is not a grant fund. Under the statutory scheme enacted by Congress, the primary function of the AFF is to pay the costs associated with the federal forfeiture program, including equitable sharing of proceeds. Once those costs are covered, Congress has enabled the Department to use the remaining funds (the Federal Share) in various ways to support federal law enforcement activities. It is from these monies (the Federal Share) that we make funding available for state and local costs incurred in joint law enforcement operations.

As we analyze our authority to use these monies to support state and local law enforcement operations, we must recognize that our authority to do so is derivative. That is, we do not have the authority to use the Federal Share to subsidize state and local law enforcement directly. However, we may support state and local law enforcement operations when that is a derivative result of exercising the AFF's authority to support federal operations. As should be clear, use of the AFF for state and local law enforcement operations is neither appropriate nor available in every situation where state and local law enforcement is seeking

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<sup>1</sup> Formerly paragraph 524(c)(1)(H).

operational funding. As the degree of federal participation in operations diminishes, the propriety of using the AFF diminishes.

We should expect that there will always be cases that fall outside our authority to use the AFF. Congress has enacted significant appropriations that are available for these situations (e.g., state and local grant programs, Weed and Seed appropriation, High Intensity Drug Trafficking Area appropriation, etc.). The AFF should always be looked upon as a secondary source of funds for these needs, filling in gaps where it can reach, but never the primary or sole source. In addition, participating state and local law enforcement agencies may use equitably shared funds to finance their costs in such operations.<sup>2</sup>

### Specific Limitations

This guidance attempts to draw lines between situations in which use of the AFF is appropriate and those in which another source of funds must be found. The AFF statute must be the consistent basis for our analysis. Section 524(c)(1)(I) identifies five factors that must be present to permit use of the AFF to support state and local operational costs. These are discussed below.

#### 1. State or Local Officers

The costs to be funded from the AFF must be costs of a **state or local law enforcement officer**. This authority does not reach costs of federal personnel, private parties, administrative personnel, or other state or local employees who are not classified as "law enforcement officers." Examples of the latter may include clerks, computer specialists, and certain analysts. It will, however, reach permissible costs incurred by state or local prosecutors.

#### 2. Joint Law Enforcement Operation

The state or local law enforcement officers whose costs are to be reimbursed must be directly involved in a **joint law enforcement operation** with the Federal Government. Numerous questions have arisen over the meaning of a joint law enforcement operation as used in § 524(c)(1)(I). The statute provides no definition. Clearly, not all joint activity constitutes a joint operation. For example, participation in meetings to discuss the crime

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<sup>2</sup> Authorities governing the use of equitably shared funds may be found in A Guide to Equitable Sharing of Federally Forfeited Property for State and Local Law Enforcement Agencies, Section X, and Appendix B, March 1994. These authorities are broader than our authority to use the Federal Share of AFF monies.

problem in a particular area and to develop agreement on how federal, state and local agencies will cooperate to address those problems is a joint activity. Yet, most would agree that such planning or coordination meetings do not constitute a law enforcement operation.

With respect to the AFF, we interpret "joint law enforcement operation" to mean a focused law enforcement effort that:

- a. is designed to disrupt crime by the identification, investigation, and arrest of criminal offenders, and the seizure of tainted assets, using accepted methods of investigation such as intelligence gathering and sharing, evidence gathering, informant debriefing, witness interviews, crime scene and forensic analysis, electronic monitoring, data analysis, etc.;
- b. is conducted against specific targets, pursuant to a unified tactical plan, using authorized methods of investigation in order that the arrests and seizures become effective prosecutions and forfeitures before the courts of the United States or of the state in which the operation exists; and
- c. involves significant, sustained operational participation by at least one agent of a federal law enforcement agency participating in the AFF.

Several points are worth noting. First, neither the statute nor the definition require the Federal Government to be in charge of the operation. State or local officials may be in charge of execution of the tactical plan with support from the Federal Government. Second, no specific organizational format is required. A joint law enforcement operation may exist within the framework of a formal task force, an informal task force, a group of related cases, or even a single case.

Third, the essence of a joint operation is a unified tactical plan. As with a military operation or campaign, all activities that are considered part of the joint law enforcement operation are conducted under the authority of, and implement a part of, the unified tactical plan. The unified tactical plan defines the scope of the law enforcement operation. Fourth, the operation need not be full time nor extend through the entire year. It may be intermittent. However, no state or local costs incurred while the operation is inactive can qualify for reimbursement.

Fifth, the involvement of the federal agent(s) must be significant and sustained. The activities of the joint operation must represent a significant and official part of the duties of the agent(s) assigned to the operation. This entails work beyond that of an advisory nature, and also beyond emergency or

circumstantial operational assistance. Federal agents need not be actively engaged in every aspect of the operation (e.g., every arrest, surveillance or seizure). Yet, for the operation to be considered "joint", there should be at least one federal agent involved in an operational capacity substantially the entire time the operation is active. As a minimum, we would expect at least three-fourths (3/4) of an agent work-year on an annual basis.

Sixth, the same agent or agents need not be involved the entire time. The federal agent participation may be satisfied by different agents serving at different times. In fact, different federal agencies may participate at different times as long as each meets criterion 3 below. In determining if the 3/4 work-year requirement is met, we will also count the time invested by United States Attorneys and Assistant United States Attorneys in executing activities under the tactical plan (e.g., interviewing witnesses, arguing motions, conducting prosecutions, forfeiting seized assets), if an operation includes qualifying federal agent participation (see criterion 3 below).<sup>3</sup> Time invested by federal agents from agencies not participating in the AFF will not be counted toward the 3/4 work-year requirement. Also, the time of state and local officers or prosecutors who are deputized or cross-designated as "federal" officers will not be counted toward the requirement.

### 3. Federal Agency Participating in the AFF

The joint law enforcement operation must be with a federal law enforcement **agency participating in the AFF**. This means the joint operation must involve the Federal Bureau of Investigation, the Drug Enforcement Administration, the Immigration and Naturalization Service, the U.S. Marshals Service, the Postal Inspection Service, the U.S. Park Police, the Office of Criminal Investigations of the Food and Drug Administration, or another agency subsequently admitted to participation in the AFF.

If any one of these agencies participates, the criterion is met even if other agencies not listed participate as well. As with a determination of when a joint operation exists, this requirement cannot be satisfied by deputizing or cross-designating a state or local officer as a "federal" officer. Joint operations without an agency listed above do not qualify for AFF monies. It should be noted that the Treasury Forfeiture Fund has similar authority with respect to joint operations with Treasury law enforcement agencies.

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<sup>3</sup>Law enforcement management, representation, oversight (even for the Weed and Seed Program), and pre-planning activities associated with the establishment of a joint law enforcement operation, do not qualify as activities of a joint law enforcement operation and are not reimbursable from the AFF.



#### 4. Eligible Expenses

The AFF may reimburse only those **expenses authorized by the statute**. It is clear that the statute does not authorize the payment of basic salaries of state or local officers, either directly or indirectly. While the AFF may fund overtime, body armor and travel, the eligible expenses are not limited to personal expenses. The AFF may make payments for costs such as the purchase of police cars, purchase of battering rams, awards to informants, lease of office space, and purchase of computers.<sup>4</sup>

#### 5. Incurred In Support of Operation

These funds are not a grant to the state or local law enforcement agency. To be eligible for reimbursement from the AFF, the costs must be incurred in **direct support** of the joint law enforcement operation, i.e., a cost of executing the unified tactical plan. A cost is not reimbursable simply because it is incurred by the same state or local agency or the same officer that is involved in the joint operation.

The involvement of some officers in a joint operation does not qualify all officers in a unit for reimbursement. Similarly, some officers may be assigned to the joint operation on a part time or as needed basis. If an officer participates on a part time basis, his/her costs incurred while participating are eligible for reimbursement, while those costs incurred while pursuing other duties or cases do not qualify. Even if an officer is assigned full time to the joint operation, not all of his/her costs may be reimbursable. Costs associated with in-service training or other activities not a direct cost of the joint operation would not be reimbursable.

#### Agency Accountability

Use of AFF monies to fund state and local overtime and other operational costs must be approved in the formal AFF allocation process. Approved funds under Section 524(c)(1)(I) will be administered through the federal law enforcement agency participating in the AFF and in the joint law enforcement operation. It is the responsibility of the involved federal agency to ensure that the state or local costs paid are permissible costs under the AFF statute and this guidance, and are directly related to the joint law enforcement operation. The federal agency and each state or local agency billing for AFF

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<sup>4</sup>Property and equipment purchased with AFF monies must remain available to the joint operation for the duration of the operation. Once the joint operation is concluded, usage and disposition are at the discretion of the state or local agency.

monies must maintain sufficient records to support an independent audit of billed costs. The Asset Forfeiture Management Staff, Justice Management Division, is also responsible for ensuring the appropriate use of AFF monies.

The attached Appendix provides additional examples of permissible and impermissible uses of AFF monies for payment of state and local agency operational costs. Questions regarding this guidance may be referred to me or to Michael A. Perez, Director, Asset Forfeiture Management Staff, at (202) 616-8000.

**EXAMPLES OF USES OF THE ASSETS FORFEITURE FUND  
FOR STATE AND LOCAL OVERTIME AND OTHER OPERATIONAL COSTS**

**A. Permissible**

1. Reimbursement of costs in a project for overtime for city and county law enforcement officers, travel and training for the same, surveillance equipment to be used in the operation, cellular telephone costs, payments to confidential informants, purchase of stolen property as evidence, and space and automobile rental for officers assigned to the joint operation.
2. A remote body-worn radio and receiver operation for undercover work, purchase of two unmarked vehicles, and training for officers assigned to the joint operation on narcotics enforcement and relevant laws.
3. Reimbursement of rental of off-site locations for electronic monitoring, rental of an off-site command post, and costs of translation of evidentiary tapes.
4. Reimbursement of the purchase cost of the following; six sabre vehicular attachments to increase distance and reception of mobile radios, six body-worn pocket receivers, pager service, one microwave low-light video system with a tripod, one low-light video system, one audio mixer panel for an airplane, and four computers provided this level of equipment is necessary for state and local officers assigned to the joint operation.
5. Leasing of office equipment, such as a copying or facsimile machine, is a permissible use of the monies, if the equipment is used only for the joint law enforcement operation.
6. A jurisdiction that has established internal cost measurements (i.e., mileage allowances) may use these same allowances for reimbursement purposes. However, the standard ratio of the costs of benefits compared to salaries may not be used where the increase in the costs of benefits associated with overtime pay is lower.
7. Necessary renovations to office space for the joint law enforcement operation are permissible expenses. However, this does not include "construction" work. The word "necessary" should be emphasized...this should include only those renovations that are reasonably necessary to ensure an efficient and comfortable office space to house officers assigned to the joint operation (i.e., painting walls, replacing broken fixtures, and correcting plumbing or electrical deficiencies).
8. Costs of community police officers incurred in direct support of the joint law enforcement operation are reimbursable.

For example, when community police officers are tasked to interview citizens regarding the targets of the operation, to conduct surveillance of the targets, to assist in the location and arrest of the targets, or to assist in a search and seizure under the operation, their overtime and associated costs, incurred while conducting these activities, are eligible for reimbursement.

9. A task force is formed to address the violent crime problem in a particular town. The local police department provides eight officers, DEA provides one agent on a part time basis (1/3 FTE), the Bureau of Alcohol, Tobacco and Firearms provides three full-time agents, and the Postal Inspection Service provides one inspector part time (1/3 FTE). In addition, it is estimated that approximately 1/4 FTE of an Assistant U.S. Attorney will be used handling cases arising from the task force. Use of the AFF in this case is permissible. The combination of DEA, Postal and AUSA effort exceeds the minimum necessary to establish a joint operation with agencies participating in the AFF.

#### B. Impermissible

1. A plan proposes to use \$250,000 to reimburse overtime for four state and local officers assigned to the joint law enforcement operation. This is not satisfactory as the rate for that overtime would far exceed reasonable levels. The plan is insufficient because it fails to detail the use of the funds in a reasonable manner.

2. Under contractual costs to be reimbursed, an applicant requested reimbursement of staff costs for sub-grantees. This is impermissible as it pays the salaries of the staff, and may be funding other than law enforcement officers.

3. Reimbursement is sought for overtime and associated costs for 10 community police officers. The unit captain has agreed to provide copies of all the officers' reports to a joint task force targeting a drug dealer whose operations affect the community. These reports are shared in case the task force is interested in any of the matters reported by the community police officers. Use of the AFF in this case is impermissible. There is no joint law enforcement operation. The general sharing of intelligence does not convert independent activities into a joint operation. However, if the task force determines that a joint case should be pursued based on one of the reports, then any costs incurred by the community police officers in support of that case could be considered for reimbursement.

4. A five-officer police unit is not involved in a formal or informal task force with a federal law enforcement agency. However, it is estimated that, during the course of a year, the

unit will work three or four major cases jointly with the FBI or DEA. The jurisdiction seeks to fund the overtime and other costs of the unit for the year. Reimbursement of policing costs not in direct support of a qualifying joint law enforcement operation are not a permissible use of AFF monies. While costs incurred in direct support of the specific cases may qualify, costs incurred for other activities of the unit are not reimbursable.

5. The use of funds for investigative purposes should be limited to truly investigative expenses. Using AFF monies for public education, violent crime and rape assistance programs, and similar outreach efforts is impermissible.

6. Having one state or local jurisdiction "contract" with another jurisdiction to provide full time law enforcement officers for a joint operation does not convert the salaries and benefits of those officers to a contract cost. The straight-time salaries and benefits of those officers cannot be funded with AFF monies, regardless of the terminology employed. However, if one jurisdiction reaches agreement with another jurisdiction to provide officers for overtime assignments, that cost would be eligible for reimbursement.

7. A task force is formed to address the violent crime problem in a particular town. The local police department provides six officers, the Bureau of Alcohol, Tobacco and Firearms provides three full-time agents, and the Postal Inspection Service provides one inspector part time (1/3 FTE). In addition, it is estimated that approximately 1/2 FTE of an Assistant District Attorney, cross-designated as a Special Assistant U.S. Attorney, will be used handling cases arising from the task force in federal court. Use of the AFF in this case is impermissible. There is insufficient participation by federal agencies participating in the AFF to establish a qualifying joint law enforcement operation. The effort of ATF and the cross-designated Assistant District Attorney is not counted.

8. A task force is formed to address the violent crime problem in a particular town. The state police provide ten officers, the Bureau of Alcohol, Tobacco and Firearms provides five full-time agents, and the local police department provides two officers. In addition, it is estimated that approximately 3/4 FTE divided between two Assistant U.S. Attorneys will be used handling cases arising from the task force in federal court. Use of the AFF in this case is impermissible. There is no participation by a federal law enforcement agency participating in the AFF. The time of the Assistant U.S. Attorneys is not counted unless a federal law enforcement agency participating in the AFF also participates.

## FY 2000 REQUEST FOR ASSET FORFEITURE FUNDS

City of \_\_\_\_\_

**A. Identify the Agencies Involved in the Joint Law Enforcement Operation**

**B. Description of the Joint Law Enforcement Operation**

**C. Direct Involvement (by Officers only) of Federal Investigating Law Enforcement Agencies Participating in the DOJ Assets Forfeiture Fund. Please insert the Full Time Equivalent (FTE) of personnel participating in the Joint Law Enforcement Operation by agency participating in this fund).**

Drug Enforcement Administration	_____	Immigration and Naturalization	
Federal Bureau of Investigation	_____	Service	_____
Food and Drug Administration,		US Marshals Service	_____
Office of Criminal Investigation	_____	US Park Police	_____
US Postal Inspection Service	_____	Department of Agriculture	
		Office of Inspector General	_____

Total Federal Investigating Law Enforcement FTE entered above \_\_\_\_\_

**D. Direct Involvement of the United States Attorney and Assistant United States Attorney(s) in the Joint Law Enforcement Operation. Please list FTE.**

**E. Total FTE in Items "C" and "D" above, combined:**

**F. Detailed Description of Items and Costs of the Joint Law Enforcement Operation to be Funded from the Assets Forfeiture Fund--for Operation Weed and Seed, FY2000.**

Category	Item	EOWS Funds	AFF
<b>Personnel</b>	<b>Overtime:</b> Number of Officers: Pay rates: Number of OT hours:		
<b>Travel</b>			
<b>Training</b>			
<b>Equipment</b>			
<b>Supplies</b>			
<b>Vehicles</b>			
<b>Informant/Buy Money</b>			
<b>Space Rental</b>			
<b>Utilities</b>			
<b>Contracts</b>			
<b>Other</b>			
<b>TOTAL</b>			

**G.     FY2000 Weed and Seed Asset Forfeiture Fund Application Budget Summary**

<u>Budget Category</u>	<u>Amount Requested</u>
Overtime	_____
Travel	_____
Training	_____
Equipment	_____
Supplies	_____
Vehicles	_____
Informant/Buy Money	_____
Space Rental	_____
Utilities	_____
Contracts	_____
Other	_____
TOTAL	_____



# EXAMPLE

## FY 2000 REQUEST FOR ASSET FORFEITURE FUNDS

City of Gotham

### **A. Identify the Agencies Involved in the Joint Law Enforcement Operation**

In February of 2000, the following agencies joined forces to form the Violent Street Gang Task Force (VSGTF):

U.S. Attorney's Office, Western District/State of Gotham

Gotham Police Department

Gotham County Attorney's Office

Bureau of Alcohol, Tobacco, and Firearms

Drug Enforcement Administration

Federal Bureau of Investigation

### **B. Description of the Joint Law Enforcement Operation**

The group's efforts are directed at combating violent gang crime and preventing the development of street gangs into a more organized and sophisticated criminal enterprise. As a secondary phase to expand and enhance their efforts, they intend to conduct a more in-depth operation that will directly impact the Weed and Seed target area. Within the Ingotham Neighborhood, the efforts of the task force will be directed towards impacting narcotics offenses, violent crimes and property crimes occurring in the target area, with particular emphasis on street gang involvement.

### **C. Direct Involvement (by Officers only) of Federal Investigating Law Enforcement Agencies Participating in the DOJ Assets Forfeiture Fund. Please insert the Full Time Equivalent (FTE) of personnel participating in the Joint Law Enforcement Operation by agency participating in this fund:**

Drug Enforcement Administration	<u>1/4</u>	Immigration and Naturalization	
Federal Bureau of Investigation	<u>1/4</u>	Service	_____
Food and Drug Administration,		US Marshals Service	_____
Office of Criminal Investigation	_____	US Park Police	_____
US Postal Inspection Service	_____	Department of Agriculture	
		Office of Inspector General	_____

Total Federal Investigating Law Enforcement FTE entered above 1/2

### **D. Direct Involvement of the United States Attorney and Assistant United States Attorney(s) in the Joint Law Enforcement Operation. Please list FTE.**

AUSA involvement: 1/4 FTE.

### **E. Total FTE in Items "C" and "D" above, combined: 3/4 FTE**

**F. Detailed Description of Items and Costs of the Joint Law Enforcement Operation to be Funded from the Assets Forfeiture Fund--for Operation Weed and Seed, FY 2000.**

<b>Category</b>	<b>Item</b>	<b>EOWS Funds</b>	<b>AFF</b>
<b>Personnel</b>	<b>Overtime:</b> Number of Officers: 4 Pay rates: \$30.00 Number of OT hours: 266		<b>\$ 8,000.00</b>
<b>Travel</b>	<b>Travel to and from State Gang Task Force Meeting</b>		<b>\$ 200.00</b>
<b>Training</b>	<b>National Intelligence Academy Training for task force members</b>		<b>\$ 3,800.00</b>
<b>Equipment</b>	<b>Video Camera Computer &amp; Printer</b>		<b>\$ 900.00 \$ 2,500.00</b>
<b>Supplies</b>	<b>Video Camera Film</b>		<b>\$ 50.00</b>
<b>Vehicles</b>	<b>Undercover vehicle</b>		<b>\$18,000.00</b>
<b>Informant/Buy Money</b>	<b>Buy money</b>		<b>\$ 6,300.00</b>
<b>Space Rental</b>	<b>Offsite rental for undercover operation</b>		<b>\$ 4,800.00</b>
<b>Utilities</b>	<b>Electricity for offsite</b>		<b>\$ 250.00</b>
<b>Contracts</b>	<b>Contract for crime analysis and mapping with university criminal justice department</b>		<b>\$ 5,200.00</b>
<b>Other</b>	<b>--</b>		<b>\$ 0</b>
<b>TOTAL</b>			<b>\$50,000.00</b>

**G.     FY 2000 Weed and Seed Asset Forfeiture Fund Application Budget Summary**

<u>Budget Category</u>	<u>Amount Requested</u>
Overtime	<u>\$ 8,000.00</u>
Travel	<u>\$    200.00</u>
Training	<u>\$ 3,800.00</u>
Equipment	<u>\$ 3,300.00</u>
Supplies	<u>\$     50.00</u>
Vehicles	<u>\$18,000.00</u>
Informant/Buy Money	<u>\$ 6,300.00</u>
Space Rental	<u>\$ 4,800.00</u>
Utilities	<u>\$    250.00</u>
Contracts	<u>\$ 5,200.00</u>
Other	<u>\$     0.00</u>
TOTAL	<u>\$50,000.00</u>

## COST REIMBURSEMENT AGREEMENT

This agreement is made this \_\_\_\_\_ day of \_\_\_\_\_ 2000, between the United States Department of Justice, Federal Bureau of Investigation (hereinafter "FBI"), and the \_\_\_\_\_.

WHEREAS the purpose of the Weed and Seed Program is to demonstrate an innovative, comprehensive, and integrated multi-agency approach to law enforcement and community revitalization for controlling and preventing crime, drug abuse, gang activity, and improving the quality of life in targeted neighborhoods, the parties hereto agree to the following:

1. To conduct and participate in joint law enforcement operation and to:
  - a. Cooperate in a comprehensive law enforcement effort to disrupt the illicit drug trafficking in the designated Weed and Seed area by immobilizing violators and trafficking groups.
  - b. Conduct appropriate law enforcement operations and engage in traditional methods of investigation in order that the results become effective prosecutions before the courts of the United States and/or the State of \_\_\_\_\_.
  - c. Gather intelligence relation to trafficking in illegal narcotics and dangerous drugs associated with violent crime,
2. To accomplish the objectives of the joint law enforcement operations outlined in paragraph one above, the \_\_\_\_\_ agrees to assign experienced officers to the Weed and Seed effort as outlined in the Application for Federal Assistance in connection with the Weed and Seed strategy.
3. To accomplish the objectives of the joint law enforcement operations outlined in paragraph one above, the FBI agrees to participate with \_\_\_\_\_ and to coordinate resources as needed to assist in meeting the goals of the Weed and Seed program. This support may include manpower, investigative equipment, training, intelligence data and other law enforcement support items. With respect to the approved funding for the joint law enforcement operation, the FBI will obligate in its financial management system through the creation of purchase order (s) an amount for the selected locality in amount equal to the total authorized funding for that locality.
4. The FBI will also, subject to the availability of funds from the Department of Justice Asset Forfeiture Fund, administer the disbursement of funds for expenses incurred in the

conduct of the joint law enforcement operations outlined in paragraph one above, including the reimbursement of payments for equipment rentals, (i.e. vehicle and cellular telephone rentals), officer overtime expenses, equipment purchases, law enforcement operational expenses (i.e. controlled purchases of contraband, payments to confidential sources) and other similar costs incurred by state of local engaged in joint law enforcement operations approved as part of the Application. The \_\_\_\_\_ may submit to FBI Headquarters reimbursement requests covering incurred costs to the FBI for disbursement of funds for items noted above via the local FBI field office. The reimbursement request will be initially transmitted to the FBI field office Supervisory Special Agent (SSA) having Weed and Seed program management oversight. Upon receipt the SSA will review the reimbursement request and will ensure the reimbursement request and will ensure the reimbursement request contains only costs that may be lawfully reimbursed based upon the standards and criteria enunciated Title 28, USC, Section 524 (c) (1) (I). After the SSA has reviewed the reimbursement request and concluded that the costs submitted are in accordance with Section 524 (c) (1) (I) he or she will forward the request to FBI Headquarters. The Criminal Investigative Division and Finance Division of FBI Headquarters will then review the reimbursement request and will process the reimbursement request for payment. The maximum total amount for authorized disbursement for pursuant to this agreement is \_\_\_\_\_.

5. During the period of joint law enforcement operations outlined in paragraph one above \_\_\_\_\_ remain responsible for the payment of costs incurred by its personnel.

6. Although more than one law enforcement agency may be involved in the joint law enforcement operation, as outlined in paragraph one above, the FBI will disburse funds for expenses incurred in the conduct of the joint law enforcement operations as outlined in paragraph one, to the entity listed as the contractor of the FBI purchase order obligating the funds. If more than one State or local agency is participating in the joint law enforcement operation and each agency desires direct disbursement from the FBI (as opposed to having one agency submit all reimbursement requests and accept full payment in its name for all agencies) then the participating agencies will be responsible for negotiating a division of the aggregate law enforcement figure into component segments so as to permit the FBI to obligate the total authorized amount for the approved locality into multiple and separate purchase orders for each participating State or local agency.

7. In no event will \_\_\_\_\_ charge any in direct cost to the FBI for the administration or implementation of this agreement.

8. The FBI shall maintain on a current basis complete and accurate records and accounts of all obligations and expenditures of funds under this agreement in accordance with generally accepted accounting principles and instructions provided by the FBI to facilitate on-site auditing and inspection of such records and accounts.

9. The \_\_\_\_\_ shall permit and have readily available for examination and auditing by the FBI, the United States Department of Justice, the Comptroller General of the United States, and any of their duly authorized agent and representatives, and all records, documents, accounts, invoices, receipts or expenditures relating to this agreement. The \_\_\_\_\_ shall maintain all such reports and records until all audits and examinations are completed and resolved, or for a period of three (3) years after termination of this agreement, whichever is sooner.

10. The \_\_\_\_\_ shall comply with Title VII of the Civil Rights Act of 1964 and all requirements imposed by or pursuant to the regulations of the United States Department of Justice implementing the law 28 C.F.R. Part 42, Subparts C and D.

11. The \_\_\_\_\_ states that an authorized officer or employee has executed and returned to DOJ an OJP Form 4061/6, Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements. The \_\_\_\_\_ acknowledges that this agreement will not take effect and that no Federal funds will be disbursed by the FBI on behalf of \_\_\_\_\_ until the completed certification has been received by the DOJ Office of Weed and Seed.

12. The term of this agreement shall commence on the latest date of signature by a representative of both parties. This agreement may be terminated by either party within thirty days advance notice. Billings for all outstanding expenditures must be received by the FBI within 90 days of the date of termination. The FBI will only be responsible for the disbursement of funds for authorized expenditures incurred by the \_\_\_\_\_ under this agreement and during the term of this agreement. All overtime payments for state and local officers assigned to the joint law enforcement operation shall not exceed 25 percent base pay of a GS-10, Step 1.

For the Federal Bureau of Investigation Field Office:

\_\_\_\_\_  
Special Agent In Charge (Print Name)

\_\_\_\_\_  
Special Agent In Charge (Signature)

\_\_\_\_\_  
Date

For the City/County of:

---

Chief of Police (Print Name)

---

Chief of Police (Signature)

---

Date

For the Federal Bureau of Investigation Finance Division:

---

Name

---

Ford Robert Cole  
Supervisory Special Agent-Contracting Officer

---

Date

## COST REIMBURSEMENT AGREEMENT

This agreement is made this \_\_\_\_\_ day of \_\_\_\_\_, 2000, between the United States Department of Justice, Drug Enforcement Administration (hereinafter "DEA"), and \_\_\_\_\_ Police Department (hereinafter) \_\_\_\_\_.

WHEREAS the purpose of the Weed and Seed Program is to demonstrate an innovative, comprehensive, and integrated multi-agency approach to law enforcement and community revitalization for controlling and preventing crime, drug abuse, and gang activity and improving the quality of life in targeted neighborhoods, the parties hereto agree to the following:

1. To conduct joint law enforcement operations and to:
  - a. Cooperate in a comprehensive law enforcement effort to disrupt the illicit drug trafficking in the \_\_\_\_\_ area by immobilizing violators and trafficking groups.
  - b. Conduct appropriate law enforcement operations and engage in traditionally methods of investigation in order that the results become effective prosecutions before the courts of the United States or the State of \_\_\_\_\_.
  - c. Gather intelligence relating to trafficking in narcotic and Dangerous Drugs associated with violent crime.
2. To accomplish the objectives of the joint law enforcement operations outlined in paragraph one above, the \_\_\_\_\_ agrees to assign experienced officers to the Weed and Seed effort as outlined in the \_\_\_\_\_ in the Application for Federal Assistance in connection with the Weed and Seed strategy.
3. To accomplish the objectives of the joint law enforcement operations outlined in paragraph one above, DEA agrees to participate with the \_\_\_\_\_ and to coordinate resources as needed to assist in meeting the goals of the Weed & Seed program. This support may include manpower, investigative equipment, training, intelligence data and other law enforcement support items.
4. DEA will also, subject to the availability of funds from the Department of Justice Asset Forfeiture Fund, reimburse the \_\_\_\_\_ for expenses incurred in the conduct of the joint law enforcement operations outlined in paragraph one above, including reimbursement of overtime salaries, travel, fuel, training, equipment, and other similar costs of State or local officers engaged in a joint law enforcement operation. The maximum reimbursement for this agreement is \$\_\_\_\_\_.



5. During the period of joint law enforcement operations outlined in paragraph one above, the \_\_\_\_\_ will remain responsible for the payment of costs incurred by its personnel and will only request reimbursement from DEA for such costs not covered by any other agreement.

6. In the event that more than one law enforcement agency participates in the joint law enforcement operations as outlined in paragraph one above and is entitled to receive reimbursement funds as described in the Application for Federal Assistance in connection with the Weed & Seed strategy, the \_\_\_\_\_ will consolidate those expenditures into its reimbursement request to DEA. The \_\_\_\_\_ will consolidate those expenditures into its reimbursement request to DEA. The \_\_\_\_\_ will, upon receiving reimbursement from DEA, be responsible for redistribution of funds to the other participating agency(ies). In no event will the consolidated reimbursement requests exceed the maximum reimbursable amount of \$\_\_\_\_\_, noted in paragraph four above.

7. In no event will the \_\_\_\_\_ charge any indirect cost to DEA for the administration or implementation of this agreement.

8. The \_\_\_\_\_ shall maintain on a current basis complete and accurate records and accounts of all obligations and expenditures of funds under this agreement in accordance with generally accepted accounting principles and instructions provided by DEA to facilitate on-site inspection and auditing of such records and accounts.

9. The \_\_\_\_\_ will permit and have readily available for examination and auditing by DEA, the United States Department of Justice, the Comptroller General of the United States, and any of their duly authorized agents and representatives, any and all records, documents, accounts, invoices, receipts or expenditures relating to this agreement. The \_\_\_\_\_ will maintain all such reports and records until all audits and examinations are completed and resolved, or for a period of three (3) years after termination of this agreement, whichever is sooner.

10. The \_\_\_\_\_ will comply with **Title VI** of the Civil Rights Act of 1964, **section 504 of the Rehabilitation Act of 1973, the American with Disabilities Act (as incorporated in the Civil Rights Act of 1991)** and all requirements imposed by or pursuant to the regulations of the U.S. Department of Justice implementing that law, 28 C.F.R. Part 42, Subparts C, D, and F).

11. The \_\_\_\_\_ agrees that an authorized officer or employee will execute and return to DEA the attached OJP Form 4061/6, Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements. The \_\_\_\_\_ acknowledges that this agreement will not take effect and that any Federal funds will be awarded to the \_\_\_\_\_ by DEA until the completed certification is received.

12. The term of this agreement will commence on the latest date of the signature by a representative of both parties. This agreement may be terminated by either party with thirty days' advance notice. Billings for all outstanding expenditures must be received by DEA within 90 days of the date of termination of this agreement. DEA will be responsible only for expenditures incurred by \_\_\_\_\_ under this agreement and during the term of this agreement.

For the Drug Enforcement Administration Field Office:

\_\_\_\_\_  
Special Agent In Charge (Print Name)

\_\_\_\_\_  
Special Agent In Charge (Signature)

\_\_\_\_\_  
Date

For the City/County of:

\_\_\_\_\_  
Chief of Police (Print Name)

\_\_\_\_\_  
Chief of Police (Signature)

\_\_\_\_\_  
Date

DEA Appropriation Accounting Number: \_\_\_\_\_

## COST REIMBURSEMENT AGREEMENT

This agreement is made this \_\_\_\_\_ day of \_\_\_\_\_ 2000, between the United States Department of Justice, Immigration and Naturalization Service (hereinafter "INS"), and the \_\_\_\_\_.

The purpose of the Weed and Seed Program is to demonstrate an innovative, comprehensive, and integrated multi-agency approach to law enforcement and community revitalization for controlling and preventing crime, drug abuse, gang activity, and improving the quality of life in targeted neighborhoods. The parties hereto agree to the following;

1. To conduct and participate in joint law enforcement operations and to:

a. Cooperate in a comprehensive law enforcement effort to disrupt the alien smuggling in the designated Weed and Seed area by immobilizing violators and smuggling groups.

b. Conduct appropriate law enforcement operations and engage in traditional methods of investigation so that the results become effective prosecutions before the courts of the United States and/or the State of \_\_\_\_\_.

c. Gather intelligence relating alien smuggling associated with violent crime.

2. To accomplish the objectives of the joint law enforcement operations outlined in paragraph one above, the \_\_\_\_\_ agrees to assign experienced officers to the Weed and Seed effort as outlined in the Application for Federal Assistance in connection with the Weed and Seed strategy.

3. To accomplish the objectives of the joint law enforcement operations outlined in paragraph one above, the INS agrees to participate with \_\_\_\_\_ and to coordinate resources as needed to assist in meeting the goals of the Weed and Seed program . This support may include manpower, investigative equipment, training, intelligence data and other law enforcement support items. With respect to the approved funding for the joint law enforcement operation, the INS will obligate in its financial management system through the creation of purchase order(s) an amount for the selected locality in an amount equal to the total authorized funding for that locality.

4. The INS will also, subject to the availability of funds from the Department of Justice Assets Forfeiture Fund, administer the disbursement of funds for expenses incurred in the conduct of the joint law enforcement operations outlined in paragraph one above. This includes the reimbursement of payments for equipment rentals, (i.e. vehicle and cellular telephone purchases, law enforcement operational expenses (i. e., confidential sources) and other similar costs incurred by state or local agencies engaged in joint law enforcement operations approved as part of the Application. The \_\_\_\_\_ may submit to INS Headquarters reimbursement

requests covering incurred costs to the INS for disbursement of funds for items noted above via the local INS field office. The reimbursement request will be initially transmitted to the INS field office Supervisory Special Agent (SSA) having Weed and Seed program management oversight. Upon receipt, the SSA will review the reimbursement request and will ensure the reimbursement request contains only costs that may be lawfully reimbursed based upon the standards and criteria enunciated in Title 28, USC, Section 524 (c) (1) (I). After the SSA reviews the reimbursement request and concludes that the costs submitted are according to Section 524(c) (1) (I) he or she will forward the request to their INS Regional Finance Office for processing the reimbursement request for payment. The maximum total amount for authorized disbursement pursuant to this agreement is \_\_\_\_\_.

5. During the period of joint law enforcement operations outlined in paragraph one above, the \_\_\_\_\_ remains responsible for the payment of costs incurred by its personnel.

6. Although more than one law enforcement agency may be involved in the joint law enforcement operation, as outlined in paragraph one above, the INS will disburse funds for expenses incurred in the conduct of the joint law enforcement operations, as the contractor of the INS purchase order obligating the funds. If more than one State or local agency is participating in the joint law enforcement operation, and each agency desires direct disbursement from the INS (as opposed to having one agency submit all reimbursement requests and accept full payment in its name for all agencies), then the participating agencies will be responsible for negotiating a division of the aggregate law enforcement figure into component segments so as to permit the INS to obligate the total authorized amount for the approved locality into multiple and separate purchase orders for each participating State or local agency.

7. In no event will \_\_\_\_\_ charge any expenses in direct cost to the INS for the administration or implementation of this agreement.

8. The INS District or Sector shall maintain, on a current basis, complete and accurate records and accounts of all obligations and expenditures of funds under this agreement according to generally accepted accounting principles and instructions provided by the INS to facilitate on-site auditing and inspection of such records and accounts.

9. The \_\_\_\_\_ shall permit and have readily available for examination and auditing by the INS, the United States Department of Justice, the Comptroller General of the United States, and any of their duly authorized agents and representatives, all records, documents, accounts, invoices, receipts or expenditures relating to this agreement. The \_\_\_\_\_ shall maintain all such reports and records until all audits and examinations are completed and resolved, or for a period of three (3) years after termination of this agreement, whichever is sooner.

10. The \_\_\_\_\_ shall comply with Title VII of the Civil Rights Act of 1964 and all requirements imposed by or pursuant to the regulations of the United States Department of Justice implementing the law, 28 C.F.R. Part 42, Subparts C and D.

11. The \_\_\_\_\_ states that an authorized officer or employee has executed and returned to DOJ an OJP Form 4061/6, Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug\*Free Workplace Requirements. The \_\_\_\_\_ acknowledges that this agreement will not take effect and that no Federal funds will be disbursed by the INS on behalf of \_\_\_\_\_ until the completed certification has been received by the DOJ Office of Weed and Seed.

12. The term of this agreement shall commence on the latest date of signature by a representative of both parties. This agreement is terminated one year from the latest date of signature or may be terminated by either party with thirty days advance notice. Billings for all outstanding expenditures must be received by the INS within 90 days of the date of termination. The INS will only be responsible for the disbursement of funds for authorized expenditures incurred by the \_\_\_\_\_ under this agreement and during the term of this agreement. All overtime payments for state and local officers assigned to the joint law enforcement operations shall not exceed 25 percent of the base pay of a GS 10, Step 1.

For the Immigration and Naturalization Service Field Office:

\_\_\_\_\_  
Special Agent In Charge (Print Name)

\_\_\_\_\_  
Special Agent In Charge (Signature)

\_\_\_\_\_  
Date

For the City/County of:

\_\_\_\_\_  
Chief of Police (Print Name)

\_\_\_\_\_  
Chief of Police (Signature)

\_\_\_\_\_  
Date

For the Immigration and Naturalization Service Finance Division:

\_\_\_\_\_  
Name and Date

## COST REIMBURSEMENT AGREEMENT

This agreement is made this \_\_\_\_\_ day of \_\_\_\_\_, 2000, between the United States Department of Justice, United States Marshals Service (USMS), and (agency or department) (\_\_\_\_\_).

WHEREAS the purpose of the Weed and Seed Program is to demonstrate an innovative, comprehensive, and integrated multi-agency approach to law enforcement and community revitalization for controlling and preventing crime, drug abuse, and gang activity and improving the quality of life in targeted neighborhoods, the parties hereto agree to the following:

1. To conduct joint law enforcement operations and to:
  - a. Cooperate in a comprehensive law enforcement effort to disrupt the illicit drug trafficking in the \_\_\_\_\_ area by immobilizing violators and fugitives.
  - b. Conduct appropriate law enforcement operations and engage in traditional methods of investigation in order to remove fugitives from the community and present them before the courts of the United States or the State of \_\_\_\_\_.
  - c. Gather intelligence relating to trafficking in narcotic and dangerous drugs associated with violent crime.
2. To accomplish the objectives of the joint law enforcement operations outlined in paragraph one above, the \_\_\_\_\_ agrees to assign experienced officers to the Weed and Seed effort as outlined in the Application for Federal Assistance in connection with the Weed and Seed strategy.
3. To accomplish the objectives of the joint law enforcement operations outlined in paragraph one above, the USMS agrees to participate with the \_\_\_\_\_ and to coordinate resources as needed to assist in meeting the goals of the Weed and Seed Program. This support may include manpower, investigative equipment, training, intelligence data and other law enforcement support items.
4. The USMS will also, subject to the availability of funds from Department of Justice Asset Forfeiture Fund, reimburse the \_\_\_\_\_ for expense incurred in the conduct of the joint law enforcement operations outlined in paragraph one above, including reimbursement of overtime salaries, travel, fuel, training, equipment, and other similar costs of state or local officers engaged in a joint law enforcement operation. The maximum reimbursement for this agreement is \$\_\_\_\_\_.

5. During the period of joint law enforcement operations outlined in paragraph one above, the \_\_\_\_\_ will remain responsible for the payment of costs incurred by its personnel and will only request reimbursement from USMS for such costs not covered by any other agreement.

6. In the event that more than one law enforcement agency participates in the joint law enforcement operations as outlined in paragraph one above and is entitled to receive reimbursement funds as described in the Application for Federal Assistance in connection with the Weed and Seed strategy, the \_\_\_\_\_ will consolidate those expenditures into its reimbursement request to the USMS. The \_\_\_\_\_, will, upon receiving reimbursement from the USMS, be responsible for redistribution of funds to the other participating agency (ies). In no event will the consolidated reimbursement request exceed the maximum reimbursable amount of \$\_\_\_\_\_, noted in paragraph four above.

7. In no event will the \_\_\_\_\_ charge any direct cost to the USMS for the administration or implementation of this agreement.

8. The \_\_\_\_\_ shall maintain on a current basis complete and accurate records and accounts of all obligations and expenditures of funds under this agreement in accordance with generally accepted accounting principles and instructions provided by the USMS to facilitate on-site inspection and auditing of such records and accounts.

9. The \_\_\_\_\_ shall permit and have readily available for examination and auditing by the USMS, Department of Justice, the Comptroller General of the United States, and any of their duly authorized agents and representatives, any and all records, documents, accounts, invoices, receipts or expenditures relating to this agreement. The \_\_\_\_\_ shall maintain all such reports and records until all audits and examinations are completed and resolved, or for a period of three (3) years after termination of this agreement, whichever is sooner.

10. The \_\_\_\_\_ shall comply with Title VI of the Civil Rights Act of 1964 and all requirements imposed by or pursuant to the regulations of the United States Department of Justice implementing the law. 28 CFR. Part 42, subparts C and D.

11. The \_\_\_\_\_ agrees that an authorized officer or employee will execute and return to the USMS the attached OJP Form 4061/6, Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements. The \_\_\_\_\_ acknowledges that this agreement will not take effect and that no Federal funds will be awarded to the \_\_\_\_\_ by the USMS until completed certification is received.

12. The term of this agreement shall commence on the latest date of signature by a representative of both parties. This agreement may be terminated by either party with thirty days notice. Billings for all outstanding expenditures must be received by the USMS within 90 days of the date of termination of this agreement. The USMS will be responsible only for expenditures incurred by \_\_\_\_\_ under this agreement and during the term of this agreement.

For the United States Marshals Service Field Office:

\_\_\_\_\_  
Name (Print Name)

\_\_\_\_\_  
Title

\_\_\_\_\_  
United States Marshal (Signature)

\_\_\_\_\_  
Date

For the City/County of:

\_\_\_\_\_  
Chief of Police (Print Name)

\_\_\_\_\_  
Chief of Police (Signature)

\_\_\_\_\_  
Date

USMS Appropriation Accounting Number: \_\_\_\_\_



FBI PROCEDURES TO OBTAIN REIMBURSEMENT  
FOR COSTS INCURRED IN A JOINT LAW ENFORCEMENT  
OPERATION FUNDED OUT OF THE ASSET FORFEITURE  
FUND AS PART OF THE DEPARTMENT OF JUSTICE “WEED AND SEED” PROGRAM

1. The Executive Office for Weed and Seed, in conjunction with the Executive Office for Asset Forfeiture, approves funding for particular sites and agencies. Money is transferred from the DOJ Asset Forfeiture Fund (AFF) to the FBI’s Finance Division. The FBI obligates this money through the creation of an internal FBI Purchase Order payable to each agency approved for funding. Only one agency may be reflected as the contractor on any one Purchase Order. Where more than one agency is participating in a joint law enforcement operation with the FBI, either one agency may be reflected as the contractor on the Purchase Order, and seek reimbursement on behalf of the other participating agencies, or, alternatively, a separate purchase Order may be created for each agency that will be reimbursed out of the approved funding.
2. The participating law enforcement agency (LEA) must incur the costs for which reimbursement is sought. Payments in advance of the actual incurrence of costs are prohibited.
3. Once incurred, the participating LEA assembles a Reimbursement Request (RR), consisting of a summary RR cover sheet and supplementary source documentation (e.g. time and attendance data for overtime, invoices for equipment purchases, executed lease agreements for cars and space, vouchers for travel or training).
4. Following compilation of documents and assembly of the RR, the RR is executed by the appropriate officer or official of the LEA and is forwarded to the Weed the Weed and Seed coordinator/Supervisory Special Agent for the local FBI Field Office.
5. The Weed and Seed Coordinator/Supervisory Special Agent for the local Field Office reviews and approves the RR and forwards the RR to the Safe Streets Task Force and Planning Unit in the Violent Crime and Major Offenders Section in the Criminal Investigative Division at FBI Headquarters (202- 324-4245).
6. The Safe Streets Task Force and Planning Unit then reviews and approves the RR, and then transfers it to the Office of the Chief Contracting Officer, Room 6875, Finance Division (Attention Supervisory Special Agent Ford R. Cole, 202-324-7525). The OCCO reviews and authorizes the RR for payment.
7. The OCCO transmits the authorized RR to the Commercial Payments Unit (CPU), Room 1993, Finance Division (202-324-1316). The CPU then authorizes the disbursement of money to the LEA entity requesting reimbursement.

FBI  
REQUEST FOR REIMBURSEMENT

1. \_\_\_\_\_  
FBI OFFICE
2. \_\_\_\_\_  
PURCHASE ORDER NUMBER
3. NAME OF STATE OR LOCAL AGENCY  
BEING REIMBURSED: \_\_\_\_\_  
ADDRESS: \_\_\_\_\_  
\_\_\_\_\_
4. PAYMENT INFORMATION (Attach additional information sheets as necessary)
  - A. OVERTIME:

Officer Name	Hours Worked	Rate	Amount
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TOTAL OVERTIME:
  - B. OTHER COSTS:

Description	Amount
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TOTAL OTHER
  - C. TOTAL PAYMENT REQUESTED:

	Amount
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5. STATE OR LOCAL AGENCY CERTIFICATION: I hereby certify that to the best of my knowledge and belief that data reported above is true and correct and that all costs for which reimbursement is sought pursuant to this Request for Reimbursement were: (1) incurred by state or local law enforcement officers, (2) incurred while state or local law enforcement officers were involved in a joint law enforcement operation with the FBI, (3) authorized reimbursable expenses under Title 28, United States Code, Section 524 (c) (1) (H), and (4) consistent with the "Weed and Seed" Budget approved for the joint law enforcement operation by the Department of Justice.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name and Title: \_\_\_\_\_

6. FBI FIELD OFFICE OFFICIAL APPROVING REIMBURSEMENT:

Signature: \_\_\_\_\_

Name and Title: \_\_\_\_\_

Date: \_\_\_\_\_

DEA PROCEDURES TO OBTAIN REIMBURSEMENT  
FOR COSTS INCURRED IN A JOINT LAW ENFORCEMENT  
OPERATION FUNDED OUT OF THE ASSET FORFEITURE FUND  
AS PART OF THE DEPARTMENT OF JUSTICE “WEED AND SEED” PROGRAM

1. The Executive Office for Weed and Seed, in conjunction with the Executive Office of Asset Forfeiture, approves funding for particular sites and agencies. Money is transferred from the Department of Justice (DOJ) Asset Forfeiture Fund (AFF) to the DEA Finance Division. DEA obligates this money to a particular field office that is the point of contact for a Weed and Seed site. The DEA field office, under the authority of the Special Agent in Charge, enters in to a reimbursement agreement with the head of a state or local law enforcement agency (LEA). This agreement can only include one LEA, even if more than one agency is represented in the grant. If more than one agency is represented in the grant then the primary agency that enters in to the agreement with DEA is responsible for any reimbursement to their law enforcement partners.
2. The participating LEA must incur the costs for which reimbursement is sought. Payments in advance of the actual occurrence of costs are prohibited.
3. Once incurred, the participating LEA prepares a Reimbursement Request (RR), consisting of a summary RR cover sheet provided by DEA and any supporting documentation (e.g. time and attendance data for overtime, invoices for equipment purchases, executed lease agreements for vehicles or space, vouchers for travel or training, etc.).
4. Following the preparation of the RR, the RR is signed and executed by the appropriate LEA official empowered to authorize the request, which is then forwarded to the local DEA Weed and Seed Coordinator. The Coordinator verifies the expenses and forwards the package to the Special Agent in Charge for signature.
5. The Special Agent in Charge forwards the package to DEA Headquarters, Operations Budget Unit (OMBB). OMBB reviews the obligation and approves it for payment. The package is then forwarded to the Office of Finance, Payment Unit (FNOP), who authorizes payment of the expenditure.
6. Once a payment is authorized from the Payment Unit a check or wire transfer is distributed from the U.S. Treasury directly to the LEA, usually to the office of the Chief. Generally payments are sent only to the address that appears on the original Grant Application.

DEA  
REQUEST FOR REIMBURSEMENT

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_  
DEA Office Agreement No. Identification No./  
Project Name
4. Type of Payment Requested: ADVANCE \_\_\_\_\_ REIMBURSEMENT \_\_\_\_\_
5. Period Covered: FROM \_\_\_\_\_ TO \_\_\_\_\_
6. Name of Address to which reimbursement is to be mailed:  
\_\_\_\_\_  
\_\_\_\_\_
7. PAYMENT INFORMATION (Attach additional information sheets for 7A and 7 B as necessary)

A. OVERTIME

<u>Officer Name</u>	<u># Hours</u>	<u>Rate</u>	<u>\$ Amount</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
TOTAL OVERTIME	# _____	_____	\$ _____

B. OTHER

<u>Description</u>	<u>\$Amount</u>
_____	_____
_____	_____
_____	_____
TOTAL OTHER	\$ _____

C. TOTAL PAYMENT REQUESTED \$ \_\_\_\_\_

8. To be completed by State and Local Government:

I CERTIFY THAT TO THE BEST OF MY KNOWLEDGE AND BELIEF THE DATA REPORTED  
ABOVE IS CORRECT AND THAT ALL PAYMENTS WERE MADE IN ACCORDANCE WITH THE  
AGREEMENT AND THAT PAYMENT IS DUE AND HAS NOT PREVIOUSLY BEEN REQUESTED.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Name and Title \_\_\_\_\_

9. To be completed by DEA Official Approving Reimbursement:

Signature \_\_\_\_\_ Date \_\_\_\_\_

Name and Title \_\_\_\_\_

10. ACCOUNTING CLASSIFICATION CODES: \_\_\_\_\_

INS  
REQUEST FOR REIMBURSEMENT

1. INS OFFICE

2. PURCHASE ORDER NUMBER

3. NAME AND ADDRESS OF STATE OR LOCAL AGENCY BEING REIMBURSED:

4. PAYMENT INFORMATION (Attach additional information as needed.)

A. OVERTIME

Officer

Hours

Name

Worked

Rate

Amount

Total Overtime

B. OTHER COSTS:

Description

Amount

Total Other

C. TOTAL PAYMENT REQUESTED:

Amount

5. STATE OR LOCAL AGENCY CERTIFICATION: I hereby certify that to the best of my knowledge and belief the data reported above is true and correct and that all costs for which reimbursement is sought pursuant to this Request for Reimbursement were: (1) incurred by state or local law enforcement officers, (2) incurred while state or local law enforcement officers were involved in a joint law enforcement operation with the INS, (3) authorized reimbursable expenses under Title 28, United States Code, Section 524 ( c ) (1) (H), and (4) consistent with the "Weed and Seed" Budget approved for the joint law enforcement operation by the Department of Justice.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name and Title: \_\_\_\_\_

6. INS FIELD OFFICE OFFICIAL APPROVING REIMBURSEMENT:

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name and Title: \_\_\_\_\_

Memorandum

To: All Weed and Seed Site Applicants

From: Stephen Rickman /s/  
Director

Subject: Revised Weed and Seed Grantee's Government Performance and Results Act (GPRA) Reporting Requirements

This office has been working to improve the quality of data collected in compliance with the Government Performance and Results Act (GPRA) (Public Law 103-62). The attached newly revised forms have been developed by this office in conjunction with the Justice Research and Statistics Association (JRSA).

The GPRA reporting forms have been simplified in response to suggestions from the Weed and Seed sites and made easier to complete. The initiation of the new GPRA reporting forms (attached) accompanies a number of steps to streamline data collection.

The data requested on the attached forms is due only once a year simultaneously with the FY 2000 grant application, (60 days after application kits are issued). The data reported should cover the calendar year 1999. A copy should be attached to the FY 2000 grant application.

Through a separate mechanism, the United States Attorneys' offices will report specified federal law enforcement data (i.e. prosecutions and convictions).

**Applications which do not include this information will not be processed until it is supplied.**

Please direct any questions on this matter to Jim Zepp of JRSA at (202) 842-9330 or to Andrew Press of EOWS at (202) 307-5965. Thank you for your cooperation in our efforts to improve the program-wide data about Weed and Seed.

Attachment





U.S. Department of Justice  
Office of Justice Programs  
*Executive Office for Weed and Seed*

## **Grantee Site Characteristics and Activity Data Report Forms Guidance**

**Government Performance and Results Act (GPRA)**



### **FY 2000 Report Forms Purpose and Return Information**

#### **Purpose**

In order to report on the nationwide activities supported by its efforts, the Executive Office for Weed and Seed (EOWS) has developed this set of forms to collect basic data on the programs and services provided through local Weed and Seed Sites. The diversity of activities performed, clients served, and community characteristics across the Local Sites make the collection of uniform and consistent national statistics very difficult. This report form is designed to gather baseline information which applies generally to all Local Sites and also provides some indication of the broader aspects of the Weed and Seed strategy for crime control and community revitalization.

#### **Where Completed Forms Should Be Sent**

Justice Research and Statistics Association  
777 North Capitol Street, NE, Suite 801  
Washington, DC 20002-4239  
Attn: Jim Zepp or Yuki Yamagishi  
(202) 842-9330 - phone; (202) 842-9329 - fax; jzepp@jrjsa.org - Internet email

### **FY2000 General Reporting Guidance**

#### **Reporting Changes for FY 2000**

For FY 2000, several changes were made in the forms. Although the questions and data requested are largely the same as in the previous forms, you should be aware of the following:

- The Part I and Part III, ver. 1.5 forms were consolidated into a new Part I. The new Part I, ver. 2.0 form is to be submitted annually with your Site's grant application.
- Health and lead poisoning screening services were added to the Part I, Section C - Seeding Activities, Question 4.
- Questions regarding any target area designations and activities related to the U.S. Environmental Protection Agency (EPA)'s Brownfields Program were added to the new Part I form, Section D - Community/Economic Development Information.
- A request for drug-related arrest data was added to the new Part I, Section F.
- The Part II form will continue to be used for updating GPRA Site Characteristic information during the program year.

## **Data Collection/ Reporting Issues**

The EOWS recognizes the limitations of staff time and other resources under which the Local Sites operate. Consequently, specific data elements were chosen that are general indicators of program activities and should be within the capabilities of Local Sites to provide. These instructions provide direction when estimates may be necessary because the available data do not exactly correspond to the report form's categories, the particular Weed and Seed Site boundaries, or time periods for this report. Space is provided in this form for explanatory notes.

The EOWS expects each Site to make a reasonable effort to provide this information when it is available and to develop mechanisms for collecting these data in the future when they are not currently accessible. Describing the scope of the national Weed and Seed effort is a critical task in documenting its importance in crime control and community revitalization. The collection of uniform and consistent program activity data is essential for this capability.

## **Technical Assistance Available**

EOWS has requested that the Justice Research and Statistics Association (JRSA) provide technical assistance in the implementation of this data collection effort. JRSA will provide guidance to Local Sites, collect and process the reports, and prepare summaries of the data.

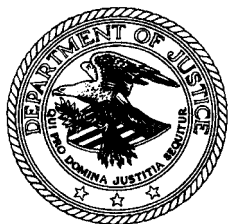
**For additional guidance in completing these forms, contact Jim Zepp or Yuki Yamagishi, JRSA at (202) 842-9330 - phone, (202) 842-9329 - fax, [jzepp@jrja.org](mailto:jzepp@jrja.org) - Internet email.**

## **Use of the Report Forms and Submission Dates**

The report forms are in two parts. The purpose and the timing for submitting each of the forms are as follows:

**Part I - Site Characteristics and Activity Data Report** is intended for Local Site information that would serve as the basis for calculating various statistical measures such as averages or deriving various Site summary reports by types of services or activities offered. It also contains the statistical information on each Weed and Seed Site's efforts. This form should be submitted annually along with your Site's EOWS grant application. Please refer to the annual EOWS Grant Application Kit instructions for the exact submission date for each year.

**Part II - Site Characteristics Update** is a means to inform the EOWS of significant changes in the Site characteristics that may affect the program activity statistics. This form should be submitted when these changes are effective. **Please note if making corrections to a previously submitted Part I form, send a revised Part I, and not a Part II form.**



U.S. Department of Justice  
Office of Justice Programs  
Executive Office for Weed and Seed

## Part I - Grantee Site Characteristics and Activity Data Report

Government Performance and Results Act (GPRA)



*Note that this form should be sent when a Local Site submits its annual EOWS grant application or when a Part I has not been previously submitted. Subsequent changes should be submitted on the **Part II - Grantee Site Characteristics Update**. A revised Part I should be sent when correcting errors in a previous Part I.*

Site: \_\_\_\_\_ Agency: \_\_\_\_\_

Person Completing

This Form: \_\_\_\_\_ Title: \_\_\_\_\_

Phone: ( ) \_\_\_\_\_ Fax: ( ) \_\_\_\_\_ Internet email: \_\_\_\_\_

Date Submitted: \_\_\_/\_\_\_/\_\_\_ Reporting Agency (check one): ☐ Federal ☐ state ☐ local

**For assistance in completing this form, see the attached instructions. For additional guidance, contact Jim Zepp or Yuki Yamagishi, JRSA at (202) 842-9330. Completed forms should be sent to: JRSA, 777 North Capitol St., NE, Suite 801, Washington, DC 20002-4239, (202) 842-9329 fax.**

### SECTION A - Site Demographic Information

1. Total population (Site only): \_\_\_\_\_ If available, please provide the following:
2. Youth population (ages 0-17): \_\_\_\_\_ 3. Adult population (ages 18+): \_\_\_\_\_

### SECTION B - Community Policing Activities

1. Please indicate the types of community policing activities used (check one for each activity type):
- a. Foot patrols ☐ yes ☐ no ☐ planned      b. Bike patrols ☐ yes ☐ no ☐ planned
- c. Substations ☐ yes ☐ no ☐ planned      d. Crime watch ☐ yes ☐ no ☐ planned
- e. Police participation in community meetings (see instructions for definition): ☐ yes ☐ no ☐ planned
- f. Other activities, please specify: \_\_\_\_\_

### SECTION C - Seeding Activities

1. Number of Safe Haven facilities: \_\_\_\_\_ 2. Number of Safe Havens receiving EOWS funding: \_\_\_\_\_
3. List names and addresses for all Safe Haven facilities (attach additional pages if necessary):

Facility Name	Street Address	City/State
_____	_____	_____
_____	_____	_____
_____	_____	_____

**Part I - Grantee Site Characteristics and Activity Data Report**

Page 2 of 4

**SECTION C - Seeding Activities (continued)**

4. Please indicate the types of activities/services provided (place an "X" in the appropriate boxes for each activity/service type):

Types of Activities/Services	Provided in Safe Haven Facility			Provided at Other Locations		
	Yes	No	Planned	Yes	No	Planned
a. academic courses and tutoring						
b. mentoring						
c. prevention education, please describe:						
d. dispute resolution and mediation						
e. recreation/athletics						
f. job training						
g. job placement						
h. anti-drug education						
i. community police co-located in Safe Haven						
j. safe corridors (school escorts for children)						
k. summer day camp						
l. youth leadership training						
m. Boys/Girls Club programs						
n. scouting programs						
o. military cadet training						
p. anti-gang education/training						
q. Communities in Schools programs						
r. performance/applied arts programs						
s. victim assistance programs						
t. community projects, e.g. clean-ups						
u. general health screening services						
v. lead poisoning screening service						
w. other, please specify:						

**Part I - Grantee Site Characteristics and Activity Data Report**

Page 3 of 4

**SECTION D - Community/Economic Development Information**

1. Number of community development corporations within Site area: \_\_\_\_\_

2. Types of new construction/renovation activities occurring in Local Site (check one for each activity type):

a. housing development(s): ☐yes ☐no ☐planned    b. commercial development(s): ☐yes ☐no ☐planned

c. business/community partnerships: ☐yes ☐no ☐planned

d. other, please specify (describe the kinds of activities being undertaken): \_\_\_\_\_

3. Number of community cleanups done using EOWS support: \_\_\_\_\_

4a. If there are any locations designated for the U.S. EPA's Brownfields Assessment Demonstration Pilot Program (see the GPRA Forms Instructions for more information about this program) within your Site's target area, please indicate how many.  
\_\_\_\_\_

4b. Does your Site have any activities related to or is otherwise involved in the Brownfields Assessment Demonstration Pilot Program? ☐yes ☐no ☐planned

**SECTION E - Additional Site Activities**

Please describe any additional noteworthy Site activities not covered in the previous sections or the Program Narrative submitted to EOWS.

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**Part I - Grantee Site Characteristics and Activity Data Report**

Page 4 of 4

**SECTION F - Law Enforcement Information**1. **(REQUIRED)** Please report the total number of homicides for the three preceding calendar years:

Area	1999	1998	1997
a. Weed & Seed Site Only	_____	_____	_____
b. Entire Jurisdiction (i.e., city, town, county)	_____	_____	_____

Jurisdiction Name: \_\_\_\_\_

2. **(OPTIONAL)** Please report the number of drug arrests associated with your Site's Weeding activities including those that occurred outside the target area but directly affect it or have a significant nexus to it. **NOTE: Only leave spaces blank to indicate missing or unavailable data. Use a zero (0) when no arrests occur**

Calendar year 1999 drug arrest data; unless specified otherwise: \_\_\_\_\_

Type	Total Arrests		Sale/Manufacturing		Possession	
All drug abuse violations (including substances not listed below)						
Heroin						
Cocaine (not including crack)						
Crack cocaine						
Marijuana						
Methamphetamines only						
Other (specify):						

3. Please attach any additional data or reports that provide indicators of your Site's major focus or efforts related to crime and law enforcement.

**SECTION G - Safe Haven Information**

1. Provide the total unduplicated Safe Haven attendance\* for all services/activities during one typical week (see instructions for additional guidance)

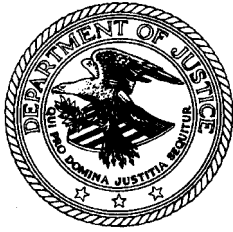
Safe Haven attendance for week of \_\_\_\_/\_\_\_\_ (month/day): \_\_\_\_\_

\* Refers to number of persons receiving services and not visits or sessions attended.

2. Please attach any additional data or reports that provide indicators of your Site's major focus or Safe Haven-related efforts.

**SECTION H - Explanatory Notes/Comments**

Please include any additional information that would help in reviewing your report. Please note any data items for which estimations have been calculated and the methods used (see report form instructions for acceptable estimation methods).



U.S. Department of Justice  
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*Executive Office for Weed and Seed*

## Part II - Grantee Site Characteristics Update

Government Performance and Results Act (GPRA)



**(Note: please refer to your Site's previously submitted Part I - Grantee Site Characteristics Report or any subsequently filed Part II Updates in completing this form. Only enter new or changed information in Sections A through F when submitting an Update.)**

Site: \_\_\_\_\_ Agency: \_\_\_\_\_

Person Completing

This Form: \_\_\_\_\_ Title: \_\_\_\_\_

Phone: ( ) \_\_\_\_\_ Fax: ( ) \_\_\_\_\_ Internet email: \_\_\_\_\_

Date Submitted: \_\_\_/\_\_\_/\_\_\_ Reporting Agency (check one): ☐ Federal ☐ state ☐ local

**For assistance in completing this form, see the attached instructions. For additional guidance, contact Jim Zepp or Yuki Yamagishi, JRSA at (202) 842-9330. Completed forms should be sent to: JRSA, 777 North Capitol St., NE, Suite 801, Washington, DC 20002-4239, (202) 842-9329 fax.**

### SECTION A - Site Demographic Information

1. Total population (Site only): \_\_\_\_\_ If available, please provide the following:
2. Youth population (ages 0-17): \_\_\_\_\_ 3. Adult population (ages 18+): \_\_\_\_\_

### SECTION B - Community Policing Activities

1. Please indicate the types of community policing activities used (check one for each activity type):
- a. Foot patrols ☐ yes ☐ no ☐ planned      b. Bike patrols ☐ yes ☐ no ☐ planned
- c. Substations ☐ yes ☐ no ☐ planned      d. Crime watch ☐ yes ☐ no ☐ planned
- e. Police participation in community meetings (see instructions for definition): ☐ yes ☐ no ☐ planned
- f. Other activities, please specify: \_\_\_\_\_

### SECTION C - Seeding Activities

1. Number of Safe Haven facilities: \_\_\_\_\_ 2. Number of Safe Havens receiving EOWS funding: \_\_\_\_\_
3. List the Safe Haven facility and address changes (Enter in the first column either "A" for new facilities, "D" for dropped facilities, or "C" for changes to existing facilities. Attach additional pages if necessary):

A/D/C	Facility Name	Street Address	City/State
_____	_____	_____	_____
_____	_____	_____	_____

**SECTION C - Seeding Activities (continued)**

4. Please indicate the types of activities/services provided (place an "X" in the appropriate boxes for each activity/service type):

Types of Activities/Services	Provided in Safe Haven Facility			Provided at Other Locations		
	Yes	No	Planned	Yes	No	Planned
a. academic courses and tutoring						
b. mentoring						
c. prevention education, please describe:						
d. dispute resolution and mediation						
e. recreation/athletics						
f. job training						
g. job placement						
h. anti-drug education						
i. community police co-located in Safe Haven						
j. safe corridors (school escorts for children)						
k. summer day camp						
l. youth leadership training						
m. Boys/Girls Club programs						
n. scouting programs						
o. military cadet training						
p. anti-gang education/training						
q. Communities in Schools programs						
r. performance/applied arts programs						
s. victim assistance programs						
t. community projects, e.g. clean-ups						
u. general health screening services						
v. lead poisoning screening service						
w. other, please specify:						



## SECTION D - Community/Economic Development Information

1. Number of community development corporations within Site area: \_\_\_\_\_
2. Types of new construction/renovation activities occurring in Local Site (check one for each activity type):
  - a. housing development(s): ☐yes ☐no ☐planned
  - b. commercial development(s): ☐yes ☐no ☐planned
  - c. business/community partnerships: ☐yes ☐no ☐planned
  - d. other, please specify (describe the kinds of activities being undertaken): \_\_\_\_\_  
\_\_\_\_\_
3. Number of community cleanups/renovations under EOWS support: \_\_\_\_\_
- 4a. If there are any locations designated for the U.S. EPA's Brownfields Assessment Demonstration Pilot Program (see the GPRA Forms Instructions for more information about this program) within your Site's target area, please indicate how many.  
  
\_\_\_\_\_
- 4b. Does your Site have any activities related to or is otherwise involved in the Brownfields ☐yes ☐no ☐planned Assessment Demonstration Pilot Program?

## SECTION E - Additional Site Activities

Please describe any additional noteworthy Site activities not covered in the previous sections or the Program Narrative submitted to EOWS.

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## SECTION F - Explanatory Notes/Comments

Please include any additional information that would help in reviewing your report. Please note any data items for which estimations have been calculated and the methods used (see report form instructions for acceptable estimation methods).

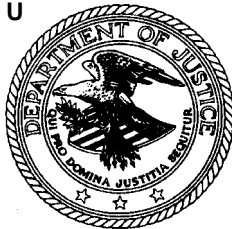
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# Instructions for Site Characteristics and Activity Data Report Forms

## Government Performance and Results Act (GPRA)



## FY 2000 General Report Form Instructions

### Scope of Activities to Be Reported

Local Weed and Seed Sites rely upon the participation and support of many Federal, state, and local agencies. Consequently, their activities and impact should extend far beyond the direct financial assistance provided by the Executive Office for Weed and Seed (EOWS). Each Site should report on a basis which is reasonable and accurately reflects the Weed and Seed efforts in its community.

***Example:** Children utilizing Safe Haven facilities may receive services from several sources. In this case, because Safe Havens may function as convenient locations for delivering services to clients who might not otherwise use them, it may be appropriate to include programs or activities that are not directly supported through EOWS funds.*

### Geographic Extent of Weed and Seed Operations

Although Weed and Seed is a geographically based strategy with defined target areas, the inclusion of activities for reporting should also rely on a reasonable judgement based on their relationship and impact on the Site regardless of actual location. For law enforcement activities, this concept has been expressed in the following manner:

“1) any felony or misdemeanor relating to distributing or possessing drugs and/or firearms (or aiding/abetting or causing thereof) within the confines of the Weed and Seed area, or involving a conspiracy to sell or possess drugs and/or firearms; or 2) the commission of any other felony offenses within the Weed and Seed area (including) any such cases which occur outside the Weed and Seed area which directly impact the area or have a significant nexus thereto” (Memorandum of 8/5/92 from the Deputy Attorney General to U.S. Attorneys for Weed and Seed Sites).

### Data Estimation Acceptable

If actual program activity data are not available, an estimation method may be used to provide indicators of local Weed and Seed Site efforts. See Footnote A in the Instructions for a discussion of acceptable methods and examples. For additional guidance on this topic, contact Jim Zepp or Yuki Yamagishi, JRSA, (202) 842-9330 - phone, (202) 842-9329 - fax, jzepp@jrsa.org - Internet email.

### Suggested Data Sources

The participating agencies are the most obvious source of program data such as reported crimes and client counts. Government planning agencies can usually

**Instructions for Grantee Site Characteristics and  
Activity Data Report Forms**

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provide demographic data (i.e., total population, youth--ages 0-17, and adults) and land area measurements. Colleges and universities may also have resources for obtaining the data needed for these reports. These may include their libraries; academic departments such as urban planning/affairs, geography, or criminal justice; or institutes for special studies. State Statistical Analysis Centers (SACs) can also provide information or technical skills helpful to local agencies. JRSA can identify the SAC agency for your state. Call Jim Zepp or Stan Orchowsky at JRSA, (202) 842-9330, or send an Internet email to [jzepp@jrja.org](mailto:jzepp@jrja.org).

**Yes/No/  
Planned  
Response  
Definitions**

The terms "yes," "no," and "planned" as used in these forms are defined as follows:

**yes** - The service or program activity is operational during the current quarter being reported. In other words, a budget has been established and funded, the staff are hired and working, and the appropriate facilities and equipment are functional.

**no** - No program activities have occurred during the current quarter being reported.

**planned** - Preparations have been made for starting a service or program activity such as a funding request, staff recruitment, or facilities construction during the current reporting quarter but no clients have been served or program operations have taken place.

**Part I - Grantee Site Characteristics and Activity Report Form Guidance**

**SECTION A -  
Site  
Demographic  
Information**

These data are usually derived from U.S. Census Bureau reports and may be supplemented by estimates produced by state or local demographers. Depending on the geographic area of the local Weed and Seed Site, estimates of the population may be necessary.

**SECTION B -  
Community  
Policing  
Activities**

Section B, Question 1e. refers to either a) general public meetings held in the target community that may be for Weed and Seed activities such as providing crime prevention education or forming a Neighborhood Watch group or b) Local Site staff attendance at meetings of community organizations such as civic associations, churches, or business groups. It does not refer to meetings of the Weed and Seed Site committees or other meetings for internal Weed and Seed project operations.

**Instructions for Grantee Site Characteristics and  
Activity Data Report Forms**

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**SECTION C -  
Seeding  
Activities**

Questions 1 and 2 request the total number of facilities in the Local Site that are designated as Safe Havens and the number which receive any direct EOWS funding.

Question 3 is a listing of each Safe Haven facility's name (e.g., the Southside Boys Club, Lincoln Elementary School, or Midtown Community Center), its street address, city, and state. This information should be for all Safe Haven facilities regardless of whether or not EOWS funds are given to each facility. If more space is needed, additional pages can be attached for this information.

**SECTION D -  
Community/  
Economic  
Development  
Information**

This section relates to community-based organizations that are involved in commercial and housing redevelopment efforts. Many local Weed and Seed Sites have coordinated their activities with community development programs such as Pulling America's Communities Together (PACT) and the Comprehensive Communities Program (CCP). The Weed and Seed Community Security Partnership funding option will allow Local Sites to expand their activities in these concerns.

Questions 4a and 4b are related to the U.S. Environmental Protection Agency (EPA)'s Brownfields Assessment Demonstration Pilot Program. **Please note that other EPA brownfields programs are not to be included in these responses.** The EPA's Brownfields Economic Redevelopment Initiative is designed to empower states, communities, and other stakeholders in economic redevelopment to work together in a timely manner to prevent, assess, safely clean up, and sustainably reuse brownfields. A brownfield is a site, or portion thereof, that has actual or perceived contamination and an active potential for redevelopment or reuse.

EPA is funding Assessment Demonstration Pilot Programs (each funded up to \$200,000 over two years), to assess brownfields sites and to test cleanup and redevelopment models; job training pilot programs (each funded up to \$200,000 over two years), to provide training for residents of communities affected by brownfields to facilitate cleanup of brownfields sites and prepare trainees for future employment in the environmental field; and cleanup revolving loan fund programs (each funded up to \$500,000 over five years) to capitalize loan funds to make loans for the environmental cleanup of brownfields. These pilot programs are intended to provide EPA, states, tribes, municipalities, and communities with useful information and strategies as they continue to seek new methods to promote a unified approach to site assessment, environmental cleanup, and redevelopment.

**Instructions for Grantee Site Characteristics and  
Activity Data Report Forms**

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For more detailed information about this program and the Assessment  
Demonstration Pilot Site locations, visit the EPA's Web site at:

<http://www.epa.gov/swerosps/bf/pilot.htm#pilot>

or contact:

Ms. Gayle L. Rice  
U.S. Environmental Protection Agency  
Office of Solid Waste and Emergency Response (OSWER)  
MC: 5101  
401 M Street, SW  
Washington, D.C. 20460  
Phone (202) 260-8431; Fax (202) 260-6606; Email [rice.gayle@epa.gov](mailto:rice.gayle@epa.gov)

**SECTION F -  
Law  
Enforcement  
Information**

Question 1 requests the total number of homicides reported a) within the Weed and Seed area boundaries and b) the entire jurisdiction (i.e., city or county) in which the Local Site is located. In order to establish a trend for community conditions, three years of data are requested. Estimates may be necessary for some Local Sites. **This information is required of all Sites to maintain their EOWS support.**

Question 2 involves drug arrest data related to the Site's Weeding activities. As previously stated in the **Scope of Activities to Be Reported** portion of these instructions, the drug arrest statistics can include those occurring outside the Site's boundaries if they still involve the Site's efforts or are intended to affect its conditions for improvement. Arrests by various drug types are also requested. **This information is optional.**

Question 3 is an opportunity for Local Sites to provide indicators of law enforcement activities that have focused on major community concerns such as truancy prevention, robbery reduction, or anti-drug or anti-gang efforts. This information can be derived from existing reports or data produced by local agencies working in the community.

**SECTION G -  
Safe Haven  
Information**

Question 1 refers to the number of persons receiving services and not visits or sessions attended. The term "total unduplicated Safe Haven attendance" represents the number of persons utilizing the program during a typical week's operations for the first Quarter of 2000 (January 1<sup>st</sup> to March 31<sup>st</sup>). "Unduplicated" means that as much as reasonably possible the total count should not include repeat visits by the same individuals during the reporting period.

**Instructions for Grantee Site Characteristics and  
Activity Data Report Forms**

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This information would be generally collected through attendance logs. For services such as after-school activities that the same children participate every day, an attendance sheet for one day should provide an unduplicated attendance count. For daily activities where different individuals may attend each day, separate attendance logs would be needed for each day that the program operates.

In instances where some of the same individuals may attend a mixture of activities during a week, the Local Site staff are asked to use their judgement in arriving at representative unduplicated counts of attendance. For example, when the majority of the attendees at two activities are the same persons, one count or attendance sheet will provide a reasonable unduplicated count. If there is little overlap in attendees, then separate attendance sheets for each activity may be appropriate. Estimates may be necessary for some programs.

Question 2 is an opportunity for Local Sites to provide indicators of Safe Haven activities that have focused on major community concerns such as academic performance problems, youth unemployment, or anti-gang efforts. This information can be derived from existing reports or data produced by local agencies working in the community.

## **Part II - Grantee Site Characteristics Update Report Form Guidance**

Only enter new or modified information in Sections A through H. For additional help with answering this form's questions, see instructions for **Part I - Grantee Site Characteristics and Activity Data Report**.

### **Footnote A - Acceptable Estimation Methods**

**Data  
Estimation  
Conditions**

Collecting daily counts at each facility may be beyond the ability of some Sites. Other Sites may have difficulties obtaining data because their Weed and Seed geographic areas do not match the reporting boundaries used by the various participating agencies such as police precincts or districts, community agency service areas, or individual school zones or clusters. There also may be problems due to different reporting time periods or organizational units across agencies which may prevent the collection of data directly attributable to Weed and Seed staff or activities.

**Instructions for Grantee Site Characteristics and  
Activity Data Report Forms**

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Following are several estimation methods that are acceptable for compiling information on Weed and Seed Local Site efforts. The choice of estimation method used is at the discretion of each Local Site but it is important to present as accurate a portrayal of the Weed and Seed activities as possible.

**Method 1 -  
Proration of  
Available  
Data**

When data are only available for a geographic area larger than the officially recognized Weed and Seed area or for a portion of the Local Site, an estimated value may be calculated based on the percentage that the Weed and Seed Site is of the total area.

Example 1: If a police precinct reported that 30 homicides occurred during the last year and the Weed and Seed Site is 50% of the precinct area, then 15 homicides should be reported for the Site. The Proration Method should be identified for the data element Section F, Question 1a in the Explanatory Notes in the Part I - Grantee Site Characteristics and Activity Data Report Form.

Example 2: A youth midnight basketball league is hosted by a community center located in the Weed and Seed Site but the facility's service area extends outside the Weed and Seed boundaries. Consequently, the participants include children who are not from the Weed and Seed Site. Based on U.S. Census data, the Weed and Seed Site accounts for 60% of the youth population in the center's service area. Consequently, 30 of the 50 youths participating are included in the count listed for Section G, Question 1 in the Part I - Grantee Site Characteristics and Activity Data Report Form and the Proration Method would be cited in the Explanatory Notes.

It should be noted that in the first example, geographic area was used as the basis for prorating the statistical data, while the second example used population data. The choice of which basis to use for calculating an estimate is determined by what may be most representative for your Site. If a Site contains a large amount of nonresidential area (such as businesses, schools, or hospitals) where arrests or other activities may occur, then land area rather than population may be an appropriate choice for the proration. On the other hand, population can be used when the statistics involve persons served.

**Method 2 -  
Data  
Sampling**

When attendance counts of service clients may not be available for all Safe Haven facilities, then taking sample counts may be a reasonable substitute. In this instance, attendance client counts are done for those Safe Havens where this is reasonable to do so.

**Instructions for Grantee Site Characteristics and  
Activity Data Report Forms**

*Example: A Local Site has three Safe Haven facilities. The total unduplicated attendance count for the first facility is 30 and for the second facility is 45. For various organizational reasons, an unduplicated count is not available for the third facility. Several options are available for estimating the attendance at the third facility.*

*Option A - If the program capacity at the third facility is the same as either the first or the second facility, use the appropriate attendance count from that one to the third facility.*

*Option B - Even though an attendance count for an entire week may not be feasible for the third facility, a one day attendance count may still be possible. In fact, depending on the nature of the activities occurring there, the one day count may be sufficient.*

*Option C - If attendance counts are not feasible for all activities, it still may be possible to have attendance counts done for the major services that are the primary focus of the Safe Haven such as an after-school program that would be indicative of the Weed and Seed effort at that facility.*



**State Single Points of Contact (SPOCs)**

It is estimated that in 2000, the Federal Government will outlay \$283.5 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided below.

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#### PUERTO RICO

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OMB is notified by a State's officially  
designated representative. E-mail messages  
can be sent to grants@omb.eop.gov. If you  
prefer, you may send correspondence to the  
following postal address:

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